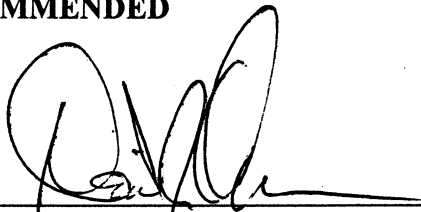


PUBLIC HOSPITAL RECORDS RETENTION AND DISPOSITION SCHEDULE

The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provision of Chapter 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement. It is further agreed that these records may not be destroyed prior to the time periods stated; however, for sufficient reason they may be retained for longer periods. This schedule is to remain in effect from the date of approval until it is reviewed and updated.

APPROVAL RECOMMENDED


Administrator
Public Hospital



David J. Olson, Director
Division of Historical Resources

APPROVED

Chairman, Board of Trustees/
Directors



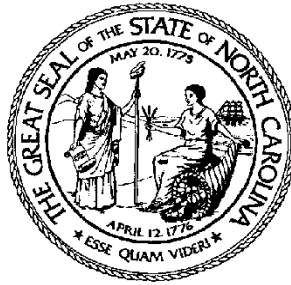
Lisbeth C. Evans, Secretary
NC Department of Cultural Resources

May 13, 2002

Official name of hospital or authority

RECORDS RETENTION AND DISPOSITION SCHEDULE

PUBLIC HOSPITALS



Issued By:

North Carolina Department of Cultural Resources
Division of Historical Resources
Archives and Records Section
Government Records Branch

May 13, 2002

CONTENTS

APPROVAL	i
ABOUT THIS PUBLIC RECORDS SCHEDULE	ii
PUBLIC RECORDS WITH SHORT-TERM VALUE	iv
DESTRUCTION OF PUBLIC RECORDS	v
DISASTER ASSISTANCE	viii
RECORDS MANAGEMENT WORKSHOPS.....	ix
MICROFILM	xi
ELECTRONIC MAIL GUIDELINES.....	xii
STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS.....	1
STANDARD-2. BUDGET, FISCAL, AND PAYROLL RECORDS.....	9
STANDARD-3. LEGAL RECORDS	16
STANDARD-4. PERSONNEL RECORDS.....	19
STANDARD-5. PROGRAM OPERATIONAL RECORDS: ALL PROGRAMS	30
STANDARD-6. PROGRAM OPERATIONAL RECORDS: BIOMEDICAL ENGINEERING RECORDS ..	34
STANDARD-7. PROGRAM OPERATIONAL RECORDS: BUSINESS OFFICE AND PATIENTS’ FINANCIAL RECORDS	35
STANDARD-8. PROGRAM OPERATIONAL RECORDS: CARDIOPULMORARY SERVICES RECORDS.....	37
STANDARD-9. PROGRAM OPERATIONAL RECORDS: CLINICAL RECORDS	42
STANDARD-10. PROGRAM OPERATIONAL RECORDS: FOOD SERVICE RECORDS	46
STANDARD-11. PROGRAM OPERATIONAL RECORDS: INDICES	50
STANDARD-12. PROGRAM OPERATIONAL RECORDS: LABORATORY SERVICES	52
STANDARD-13. PROGRAM OPERATIONAL RECORDS: NUCLEAR MEDICINE, RADIATION THERAPY, AND RADIOLOGY RECORDS.....	58
STANDARD-14. PROGRAM OPERATIONAL RECORDS: NURSING SERVICES RECORDS	65
STANDARD-15. PROGRAM OPERATIONAL RECORDS: OPERATING DEPARTMENT RECORDS...	68
STANDARD-16. PROGRAM OPERATIONAL RECORDS: PHARMACY RECORDS	70

STANDARD-17. PROGRAM OPERATIONAL RECORDS: PHYSICAL, OCCUPATIONAL, RESPIRATORY, AND SPEECH/LANGUAGE THERAPY RECORDS.....	74
STANDARD-18. PROGRAM OPERATIONAL RECORDS: PSYCHIATRIC RECORDS	76
STANDARD-19. PROGRAM OPERATIONAL RECORDS: REGISTERS.....	78
STANDARD-20. PROGRAM OPERATIONAL RECORDS: SOCIAL SERVICES RECORDS.....	80
STANDARD-18. PROGRAM OPERATIONAL RECORDS: UTILIZATION REVIEW RECORDS.....	82
STANDARD-22. PROGRAM OPERATIONAL RECORDS: VITAL RECORDS	85
STANDARD-23. PUBLIC RELATIONS RECORDS.....	86
STANDARD-24. RISK MANAGEMENT RECORDS.....	89
REQUEST FORMS (RSB 99C/M, RC-3M, RC-5, MRR-1).....	92
INDEX	97

PUBLIC HOSPITAL RECORDS RETENTION AND DISPOSITION SCHEDULE

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APPROVED

Chairman, Board of Trustees/
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Lisbeth C. Evans, Secretary
NC Department of Cultural Resources

May 13, 2002

Official name of hospital or authority

ABOUT THIS PUBLIC RECORDS SCHEDULE

This records schedule identifies and provides retention and disposition instructions for many records that are produced and maintained by the public hospital. These records are defined under Chapter 132 of the *General Statutes of North Carolina* as “public records.” Chapter 121-5 mandates that these public records may be disposed of only in accordance with an official records retention schedule. Such schedules are written by the North Carolina Department of Cultural Resources in cooperation with the agency or governing body and include the official approval of these bodies, as required by law, for records disposition actions.

INTERNET ACCESS TO PUBLIC RECORDS INFORMATION. The Government Records Branch offers valuable information on the Internet at its Web site, which may be accessed at <http://www.ah.dcr.state.nc.us/sections/archives/rec/default.htm>.

Local government agencies are encouraged to reference the site and its links to other data. The Web site offers much of the introductory information and many of the forms contained in this schedule, the full text of G.S. §121 and §132, and contact information for the Government Records Branch.

WHAT THE SCHEDULE IS. This schedule contains a listing and brief description of the program records maintained by the public hospital and identifies the minimum period of time each record series shall be retained. Copies of this schedule can be obtained either by contacting the Government Records Branch or from our Web site listed above. Records normally should be disposed of at the end of the stated retention period. In effect, the schedule provides a comprehensive records disposition plan which, when followed, ensures compliance with G.S. §121 and §132. All provisions of this schedule remain in effect until the schedule is officially amended. Errors and omissions do not invalidate this schedule as a whole or render it obsolete. As long as the schedule remains in effect, destruction or disposal of records in accordance with its provisions shall be deemed to meet the provisions of G.S. §121-5(b) and be evidence of compliance of the law. **However, in the event that a legal requirement, statute, local ordinance, or federal program requires that a record be kept longer than specified in this schedule, the longer retention period shall be applied. All questions concerning the legal requirements for retaining a record should be referred to the qualified legal counsel.**

PUBLIC RECORDS DEFINED. Chapter 132-1 of the *General Statutes of North Carolina* states:

“Public record” or “public records” shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction or public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the state or of any county, unit, special district or other political subdivision of government.

NOT ALL PUBLIC RECORDS ARE OPEN TO THE PUBLIC. Public records belong to the people. However, not all official public records are open to the public. Many records are protected from general access or casual reference by federal or state laws, or by legal precedent and can be seen only by court order. Therefore, even though G.S. §132-6 and §132-9 provide for public access to most records, certain records should be considered confidential in order to protect the privacy rights of agency personnel and the public. It is the responsibility of each records custodian to be familiar with G.S. §131E-97.1 and §8-53, agency policy, and all other pertinent state and federal legislation and regulations in order to ensure the proper protection of restricted information. If in doubt, consult the Division of Historical Resources or your agency’s attorney.

ELECTRONIC RECORDS. Electronic records are becoming an increasingly important part of government work. Word processing on desktop computers means that most office workers are directly responsible for the creation, distribution, and filing of records. Database management systems are used to streamline services delivered to clients. Electronic mail and the World Wide Web are used to keep communication and publishing costs down.

G.S §132-1(a) defines “‘Public record’ or ‘public records’ shall mean all ...documentary material, *regardless of physical form or characteristics.*” Electronic records are subject to the same public access, personal privacy, audit, and authenticity requirements as the paper records which preceded them. Custodians are still responsible for the accuracy, completeness, authenticity, security, retention, and preservation of their records.

INDEXING ELECTRONIC RECORDS. G.S §132-6 requires that all public databases be indexed. To assist local government agencies in this process, the division published *Public Database Indexing Guidelines and Recommendations*. Copies can be obtained from our Web site.

CHANGING THE SCHEDULE. You may request an addition, deletion, or change in a retention period by completing and sending a Request for Change in Records Schedule (Form RC-3C) to the Division of Historical Resources. See the instructions on the form for more information.

EARLY DISPOSAL OR DISPOSAL OF UNSCHEDULED RECORDS. Custodians desiring to dispose of records earlier than specified in this schedule, or to dispose of records not listed in the schedule, may use the form “Request and Approval of Unscheduled Records Disposal” (Form RC5) to obtain the concurrence of the Department of Cultural Resources. Permission must also be obtained from the Board, and recorded in the Board’s minutes.

PERMANENT RECORDS. Records scheduled for permanent preservation, even after being microfilmed, may not be destroyed without specific written permission of the Department of Cultural Resources.

PROTECTING PUBLIC RECORDS. Public records are public property. They should remain in the care of the governmental agency in which they were created or collected in the course of public business. Public records should be disposed of only when, and as specified, in this records schedule.

ASSISTANCE WITH INTERPRETATION AND APPLICATION OF THE PROVISIONS OF THIS SCHEDULE. The Government Records Branch provides assistance to agencies with records management issues, including the use of the retention and disposition schedules. Four records analysts are available to assist by telephone or e-mail. Analysts make site visits to agency offices, as needed.

The Raleigh office can be reached at (919) 733-3540.

The Western Office, located in Asheville, can be reached at (828) 274-6789.

PUBLIC RECORDS WITH SHORT-TERM VALUE

GUIDELINES FOR THEIR RETENTION AND DISPOSITION

According to North Carolina General Statutes §121 and §132, every document, paper, letter, map, book, photograph, film, sound recording, magnetic or other tape, electronic data processing record, artifact or other documentary material, regardless of physical or characteristic, made or received in connection with the transaction of public business by any state, county, municipal agency, or other political subdivision of government is considered a public record and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources. The Department of Cultural Resources recognizes that many records exist that may have very short-term value to the creating agency. These guidelines, along with any approved program records retention and disposition schedule, are intended to authorize the expeditious disposal of records possessing only brief administrative, fiscal, legal, research, or reference value, in order to enhance the efficient management of public records. Examples of those records include:

- Facsimile cover sheets containing only transmittal (“to” and “from”) information, or information that does not add significance to the transmitted material
- Routing slips or other records that transmit attachments
- Reservations and confirmations
- Personal messages (including electronic mail) not related to official business
- Preliminary or rough drafts containing no significant information that is not also contained in the final drafts of the records
- Documents downloaded from the World Wide Web or by file transfer protocol not used in the transaction of business
- Records that do not contain information necessary to conduct official business, meet statutory obligations, carry out administrative functions, or meet organizational objectives

The records described above may be destroyed or otherwise disposed of when their reference value ends.

These guidelines are not intended to serve as authorization to destroy or otherwise dispose of unscheduled records. They are intended to complement the use of an approved records retention and disposition schedule for the creating government or agency, not replace or supersede it. Should a creating government or governmental agency lack an approved records retention and disposition schedule, it may not destroy or otherwise dispose of any records in its custody, whether in electronic, paper, or other format (including electronic mail) until it receives approval of its “Request and Approval of Unscheduled Records Disposal” (Form RC5). Such offices should contact the Government Records Branch of the Division of Historical Resources for assistance in creating a schedule.

While records of short-term value may be discarded as described above, all public employees should be familiar with specific program records retention and disposition schedules and applicable guidelines for their office, the *County Management Retention and Disposition Schedule*, as well as the public records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.

DESTRUCTION OF PUBLIC RECORDS

1. **AUTHORIZED PROCEDURES.** One of the following procedures shall be followed prior to the destruction of public records.
 - a) Records listed in this schedule, or added later by amendment, may be destroyed after the specified retention periods without further approval of the Department of Cultural Resources or the governing body, providing:
 - (1) the governing body has authorized the records listed herein for destruction to be destroyed by blanket approval of the retention and disposition schedule.
 - (2) the governing body has entered this approval along with a copy of the schedule in the governing board minutes or as an attachment to the minutes.
 - (3) the chairman of the governing board has indicated the governing body's approval by signing the agreement sheet of this schedule.
 - (4) the secretary, Department of Cultural Resources, has certified that such records in the retention and disposition schedule have no further use or value for research or reference by signing the same agreement of this schedule.
 - b) Records listed in this schedule, or added later by amendment, may be destroyed after the specified retention periods without further reference to the secretary, Department of Cultural Resources; however, if the governing body, for some reason, declines blanket approval of the retention and disposition schedule or fails to enter its approval and a copy of the schedule in the governing board minutes, then the authorization of the governing body must be obtained each time records are destroyed. The certification and authorization must be entered each time in the governing minutes.
 - c) One-time destruction of an accumulation of an unscheduled or a discontinued record series should be referred to the Department of Cultural Resources and the governing body for authorization.

2. **DESTRUCTION OF ORIGINAL RECORDS THAT HAVE BEEN DUPLICATED.** Under certain conditions, duplicates of records may be used in place of the originals. Duplicates include (but are not limited to): microfilm of paper or electronic records, scanned paper records, and printouts of electronic records.

Unlike a xerographic reproduction of paper records, a printout of an electronic record may lose valuable information describing its content, context, and structure. This metadata is a key element of an electronic record. Therefore, records custodians are cautioned not to assume that a printout contains the all of the information the original electronic record does.

Duplicates must be created in the normal course of business and meet all of the following criteria:

- a) The agency must have registered its approval of this records retention and disposition schedule with the Government Records Branch.
- b) Duplicates of non-permanent records must be retained for the full period of time listed in the disposition instructions.
- c) Records scheduled as permanent may be duplicated. The original records, however, may not be destroyed without prior consent of the Department of Cultural Resources.

In addition, records duplicated through digital imaging or other conversion to computer or digital environments must be supported by convincing, documented evidence that the electronic records were created, reproduced, and otherwise managed in accordance with systems and procedures designed to ensure the reliability, accuracy, and security of both the records and the process or system used to produce the records. Provisions must also be made to ensure the records' accessibility throughout their retention period, including any required migration, recopying, or conversion.

To assist local government agencies, the Division of Historical Resources has published guidelines for establishing methods and procedures in the duplication of original records. Copies of *Micrographics: Technical and Legal Procedures* and *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems* can be obtained from our Web site.

3. **DESTRUCTION OF ELECTRONIC RECORDS.** Careful attention must be paid to the destruction of electronic records. When computers are sent to surplus, hard drives must be carefully and thoroughly erased or destroyed. Tapes, disks, and other recording media should be physically destroyed. Simple erasure or destruction of a disk's index file is insufficient to destroy the actual data recorded on the disk.

High-capacity storage media, such as CD-ROMs or optical media, may contain records of differing retention requirements. It is important that those records which must be retained for longer periods continue to be accessible.

There are two options:

- a) Recopy the longer-retention records onto a separate tape or disk and destroy the original.
- b) Retain the entire tape or disk as long as required for the longest-term record.

4. **METHODS OF DESTRUCTION.** Local government records provide documentation of the actions and processes of government at its most direct level. These records should remain in the custody and control of the agency that created them or received them pursuant to law until such time as they are eligible for disposition. When authorized by an approved records retention and disposition schedule, records should be destroyed in one of the following ways:

- a) burned (unless prohibited by local ordinance), shredded, or torn up so as to destroy the record content of the documents or materials concerned
- b) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned
- c) buried under such conditions that the record nature of the documents or materials will be terminated
- d) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records

-N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

5. **DISPOSITION OF RECORDS NOT AUTHORIZED FOR DESTRUCTION BY THIS SCHEDULE.** Custodians with records not authorized for destruction or other disposition by this schedule may discard these records by following one of the procedures listed below:

- a) Address correspondence using Request and Approval of Unscheduled Records Disposal (Form RC5) to the address indicated on the form.

- b) Custodians with records no longer in current use that are identified as permanent and not authorized for destruction by this schedule, or with paper records that have been microfilmed, are authorized and empowered to turn over such records to the Department of Cultural Resources. The Department of Cultural Resources is authorized, at its discretion, to accept custody of those records, providing it has adequate space and staff in the State Archives. A written offer of the records should be made to the Assistant State Records Administrator, Government Records Branch, 4615 Mail Service Center, Raleigh, North Carolina 27699-4615.

DISASTER ASSISTANCE IS AVAILABLE

Throughout our state's history, county and municipal records have been vulnerable to man-made and natural disasters. Even with modern facilities and improved security and protective measures, public records are still susceptible to fire and water damage, and several disasters involving public records have occurred in this state during recent years. One of the most common forms of disaster has been a fire (usually at night or during a weekend). In those instances, valuable and often irreplaceable records that escaped the flames were ruined by water and mud resulting from fire fighting. In most cases, records that were irreparably damaged might have been saved if state and local officials had known what to do with damaged records and acted promptly.

In order to help state, county, and municipal agencies cope with fires, floods, and other disasters involving records, the North Carolina Division of Historical Resources has formed a Disaster Response Team. Upon request, members of this team will advise local officials on the retrieval of damaged records. When possible, they will also provide further assistance upon request.

WHAT SHOULD YOU DO WHEN A DISASTER OCCURS? The first and most important step to take is to secure the area containing the damaged records as soon as possible. Until fire fighters or other safety personnel confirm the safety of the area, no one should enter the facility. Then notify the Division of Historical Resources at (919) 733-3540 immediately. [During nights or weekends, call your local emergency management office.] In the case of water-damaged records, the first step is to ventilate the area as much as possible to minimize the growth of mold and facilitate later records-salvage efforts. Finally, and most important—**NO ONE SHOULD REMOVE OR ATTEMPT TO CLEAN RECORDS**. Damaged records are fragile, and attempts to move or clean them may cause unnecessary destruction. Only trained personnel should direct the recovery of the damaged records.

Information about disaster response is available on the Division of Historical Resources' Internet Web site at <http://www.ah.dcr.state.nc.us>.

RECORDS MANAGEMENT WORKSHOPS

TECHNICAL AND PROFESSIONAL TRAINING. Staff training helps to make a good agency records management program better. The records management workshops listed below are available to all governmental agencies and can be presented at your office. They are also available at periodic intervals in the State Records Center building in Raleigh.

An agency outside the Raleigh area may request that a workshop be held on its premises by contacting the Government Records Branch. These workshops can be offered in combination, or otherwise tailored to specific issues or needs in your office. Although fifteen is an optimal number of participants for workshops, they are provided for any interested agency personnel.

SCANNING AND MICROFILMING PUBLIC RECORDS. This workshop covers scanning and microfilming fundamentals. We provide a series of steps to use in planning a scanning project, discuss resource allocation issues, and describe potential pitfalls in the process. A basic review of records management and public records law is provided.

The workshop presents principles for both microfilming and scanning state technical standards and procedures to ensure the legal admissibility of microforms and scanned records and systems and equipment. Also included are the advantages and limitations of the two processes; quality control procedures; suggested specifications for vendor services; state technical standards for in-house operations or vendor services; and choosing and implementing a scanning, microfilming, or hybrid system.

State, county, and municipal government agencies with existing in-house systems; staff who perform or supervise source document microfilming or scanning; and those interested in developing or maintaining micrographic or scanning systems would benefit from this training course.

This is normally a full-day workshop, but it can be shortened for presentation outside of our classroom.

MANAGING PUBLIC RECORDS. Management methods and procedures for controlling active and inactive records in state, county, and municipal government offices through the use of records retention and disposition schedules are presented in the workshop. Included in the training session are pertinent laws, protecting essential records, determining historical and other record values, disposition procedures, and the relationship of disposition to other records management activities.

FILES AND FILING. Step-by-step procedures for organizing and maintaining subject files in an efficient, easy-to-use system are presented in this workshop. The workshop includes: ordering and using the correct supplies; organizing files by their function; color coding files to increase retrieval speed and reduce misfiles; a single-point reference system with everything about a particular case, subject, person, or location in one folder (case filing); eliminating "General" and "Miscellaneous" files; and creating a filing system through which anyone can locate a folder.

MANAGING ELECTRONIC PUBLIC RECORDS. Electronic files in state, county, and municipal agencies include records stored in desktop computers, network servers, and computer "archives." The workshop covers public access to electronic files; legal acceptance of electronic records; managing, storing, and retrieving electronic records; electronic mail; security of electronic files; and system backups.

MICROFILM

ADVANTAGES. Microfilm is an economical and practical means of preserving a security copy of essential records, and it can be used by government agencies to eliminate the problem of excess paper.

LEGAL AUTHORITY AND ACCEPTANCE. Legal authority for microfilming county records is contained in G.S. §153A-436. This statute provides that the method of reproduction must give legible and permanent copies and that the reproduction of the public records must be kept in a fire-resistant file, vault, or similar container.

G.S. §8-45 and §153A-436 provide that microfilm copies of public records shall be admissible as evidence in any judicial or administrative proceeding.

To ensure uniformity and legal acceptability in microfilmed records, certain forms, targets, and procedures should be used when microfilming public records. The Division of Historical Resources has published *Micrographics: Technical and Legal Procedures* to aid state, county, and municipal agencies in producing good-quality microfilm that meets all legal requirements.

SCANNING RECORDS. For guidance on implementing or maintaining a scanning system, contact the Government Records Branch.

TECHNICAL STANDARDS. Specific technical standards are required to assure quality microforms that are readily reproducible and, where necessary, capable of permanent preservation. There are four basic groups of standards that establish criteria for microfilm to be of archival or permanent quality: standards for the manufacture of raw film, standards affecting the method of filming in order to produce good overall results, standards involved in processing (developing) microfilm, and standards for the storage of processed microfilm. Those standards are listed and explained in the Division of Archives and History's publication *Micrographics: Technical and Legal Procedures*. The standards were compiled from national associations such as the American National Standards Institute (ANSI) and the Association for Information and Image Management (AIIM).

MICROFILMING SERVICES AVAILABLE. The Division of Historical Resources offers microfilming of minutes and other selected permanent records. An appointment to microfilm the records is necessary and may be made by calling (919) 733-3540. The records scheduled to be microfilmed must be delivered to Raleigh for filming. The silver original reel is stored for security in the State Archives' environmentally controlled vault. Duplicate reels may be obtained from the Government Records Branch for a small fee.

Micrographic feasibility studies are provided, on request, to help agencies determine the most cost-effective micrographic system to meet their needs. Evaluations of existing micrographic applications are performed to ensure that microfilm meets state technical standards and is of archival quality.

Agencies microfilming their own *permanent* records should send the silver (camera) film to the Division of Historical Resources for storage in the vault. Duplicate film can be used in the office as the working copy.

ELECTRONIC MAIL AS A PUBLIC RECORD IN NORTH CAROLINA

Guidelines for Its Retention, Disposition, and Destruction

Department of Cultural Resources
Division of Historical Resources

The Division of Historical Resources assumes that every state agency or other political unit in the state of North Carolina sends and receives electronic mail ("e-mail") or will shortly have the capability of doing so. E-mail (unless it is personal in nature) contains information of value concerning, or evidence of, the administration, management, operations, activities, and business of an office. Like paper records—such as the memoranda, correspondence, reports, and the hundreds of other types of records received traditionally, for example, through interoffice or U.S. mail or other avenues—e-mail has administrative, legal, reference, and/or archival value. *The content of electronic mail is a public record* (according to G.S. §121.8 and §132.1) *and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources*. This regulation, along with a current records retention and disposition schedule, is intended to provide for that guidance.

Accordingly, agencies and their offices that use e-mail should normally retain or destroy e-mail by following the provisions of a current, valid records retention and disposition schedule listing the records maintained by a particular office, filing e-mail (whether in paper or electronic format) within existing records series on their schedules, and handling it according to the disposition instructions assigned to each such records series. Because of the characteristics of the medium, however, electronic mail possesses a dual identity. E-mail is also used to transmit and receive messages that may have reference or administrative value but which are simultaneously of an ephemeral, temporary, or transient nature. As such, e-mail of this kind functions in some ways like telephone calls or telephone messages. Such messages remain public records but may be treated as having a reference or administrative value that ends when the user no longer needs the information such a record contains. E-mail of ephemeral or rapidly diminishing value may be erased or destroyed when the user has determined that its reference value has ended.

Agencies and offices need, however, to pay particular attention to the sometimes complex requirements for the retention of e-mail for longer periods of time, i.e., e-mail of more than transient value. E-mail in this category may be retained in electronic or paper form (the latter may in some cases be the only means of providing for archival retention, for example, through microfilming of paper copies) but must be retained for as long as the period specified in a valid records schedule. If retained in paper form, the copies must retain transmission and receipt data. If electronic mail is retained in electronic form, office administrators need to ensure that their electronic environment (client server, mainframe computer in or outside their agency, or office personal computer) assures the retention of e-mail for the required period of time. Office administrators may need to contact relevant personnel at ITS (Information Technology Services), personnel at their own agency's computer systems unit, or any other personnel who operate computer units or systems immediately or remotely, to ensure that such systems process e-mail in accordance with records retention schedules and provide for backups, disaster recovery, physical and electronic security, and the general integrity of the system, its components, and the records it generates and maintains. Office administrators may also need to assure that office filing systems adequately provide for the proper classification of electronic files (including e-mail) in the same manner as currently provided for paper-based files.

Office administrators, department or unit heads, and all other public employees who use e-mail should regularly and consistently retain or delete e-mail in accord with the records series and disposition instructions and other instructions provided above. Retention of e-mail or any other records, whether in electronic or paper format, for longer than provided in a valid records retention and disposition schedule leads to inefficiency and waste and may subject the affected unit to legal vulnerabilities.

STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS

Official records pertaining to the authority, operating philosophy, methods, primary functions, and routine office administration of the public hospital.

<i>ITEM #</i>	<i>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	ADMINISTRATIVE DIRECTIVES, POLICIES, PROCEDURES, REGULATIONS, RULES	a) Retain official copy permanently. b) Destroy in office remaining copies 3 years after superseded.	
2.	AGENDA PACKETS Supporting documentation submitted during meetings of public committees, commissions, and boards.	Destroy in office when reference value ends or after 5 years, whichever occurs first.	
3.	AGENDA FILE	Destroy in office after 1 year.	
4.	ASSOCIATIONS AND COMMITTEES FILE	Destroy in office after 2 years.	
5.	AUDIO AND SOUND RECORDINGS (MEETINGS)	Destroy in office after approval of official minutes.	
6.	BLUEPRINTS Blueprints and specifications concerning design of county buildings.	Retain for life of structure.	
7.	BUILDING MAINTENANCE AND SPACE FILE.	a) Destroy in office maintenance agreements and contracts 3 years after termination or expiration.* b) Destroy in office remaining records when administrative value ends.	
8.	BULLETINS	Destroy in office after 1 year.	
9.	BUSINESS LICENSES Records concerning companies authorized to conduct business with the public hospital. File includes copies of business licenses, applications, fee schedules, and other related records.	Destroy in office 5 years after expiration.	
10.	CALENDARS OF EVENTS	Destroy in office when superseded or obsolete.	
11.	CITIZENS COMPLAINTS	Destroy in office 2 years after resolution.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	CONFERENCES AND WORKSHOPS FILE Record concerning conferences and workshops conducted by or attended by county employees.	Destroy in office after 2 years.	
13.	CONTRACTS	a) Destroy in office construction contracts 6 years after completion of project. b) Destroy in office services and supplies contracts 3 years after expiration.*	Also see Standard-3, Legal Records. Comply with applicable provisions of G.S. §135-40.4(a) & 131E-97.3 for confidentiality of health care contracts.
14.	CORRESPONDENCE/MEMORANDA (ADMINISTRATIVE)	a) Transfer correspondence with obvious historical value to Histories file (item 26) after 3 years. b) Destroy in office remaining records after 3 years.	
15.	COURIER SERVICE FILE	Destroy in office when superseded or obsolete.	
16.	DEEDS FILE	Retain in office permanently.	
17.	DIRECTIVES	a) Retain 1 copy in office permanently. b) Destroy in office remaining directives when suspended or obsolete.	
18.	DIVISION OF FACILITY SERVICES RECORDS Records concerning inspecting, certifying, validating, and licensing of hospitals and other health care facilities. File includes certification and validation survey records, licensure records, patient complaint surveys, and all supporting documentation.	Destroy in office 5 years or when superseded or obsolete, whichever occurs first.	
19.	DONATIONS AND SOLICITATIONS	Destroy in office after 1 year.	
20.	EMERGENCY MANAGEMENT FILE	Destroy in office when superseded or obsolete.	
21.	EMERGENCY NOTIFICATION FILE Records concerning the notification of personnel in the event of an emergency. File includes duty roster, emergency notification form, and other related records.	Destroy in office when superseded or obsolete.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	ENERGY CONSERVATION FILE	Destroy in office after 5 years.	
23.	EQUIPMENT FILE	a) Destroy in office operating manuals, warranties, and service contracts upon final disposition of equipment. b) Destroy in office accounting records after disposition of equipment and when released from all audits, whichever occurs later. c) Destroy in office remaining records when superseded or obsolete.	
24.	EQUIPMENT MAINTENANCE FILE	Destroy in office 2 years after equipment is no longer owned and/or operational.	
25.	EVACUATION PLANS	Destroy in office when superseded or obsolete.	
26.	FACILITY ACCESSIBILITY RECORDS Records document compliance with the Americans with Disabilities Act (ADA). They include survey of county buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.	Destroy in office after 5 years.	29 CFR 1602 (1992).
27.	FUEL INVOICES Reflects the price and the amounts of fuel purchased.	Destroy in office after 1 year.	
28.	FUND DRIVE RECORDS	Destroy in office after 1 year.	
29.	GOALS AND OBJECTIVES	a) Transfer records with obvious historical value to the Histories File (item 33) after 3 years. b) Destroy in office remaining records after 3 years.	
30.	GRANT CONTRACT APPEALS CASES	Destroy in office 10 years after final action or decision.*	
31.	GRANT PROPOSALS	a) Transfer records concerning approved grants to Grants file (item 32) immediately. b) Destroy in office rejected or withdrawn grant proposals when reference value ends.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	GRANTS Records concerning approved federal, state, and private grants. Includes applications and all relevant programmatic records. Most grantor agencies require grant-related records be maintained 3 years, however, longer retention period may apply.	a) Destroy in office records relating to specific non-continuing grants 3 years after termination and final expenditure issued or when released from audit, whichever occurs later. b) Destroy in office yearly records relating to specific continuing grants 3 years after annual financial report is filed. c) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.	See also <i>Standard-2: Budget, Fiscal & Payroll Records</i> , item 35, Grants: Financial Records
33.	HISTORIES FILE Records concerning the history of the organization and its employees. File also includes published and unpublished histories of the county, as well as photographs, newspaper clippings, and other items pertaining to county departments and citizens.	Permanent.	
34.	INDEX FILE	Destroy in office when reference value ends.	
35.	INSPECTION RECORDS Includes records concerning the inspection of county owned facilities, vehicles, and equipment.	Destroy in office after 1 year.	
36.	JANITORIAL MAINTENANCE RECORDS	Destroy in office after 1 year.	
37.	LITIGATION CASE FILE Legal cases in which the county is a party.	Transfer to Litigation Case Records (item 11) in Standard-3, Legal Records, when reference value ends.	Comply with applicable provisions of G.S. §132-1.1 regarding confidentiality of legal records.
38.	MAILING LISTS Mailing list of individuals/agencies receiving materials from county offices.	Destroy in office after 2 years.	
39.	MANAGEMENT STUDIES	a) Transfer studies with obvious historical value to the Histories File (item 33) after 3 years. b) Destroy in office remaining records after 3 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
40.	MEETINGS (STAFF) Notes, memoranda, electronic tape recordings, meeting notes, and all other records (excluding minutes and agendas) for all types of meetings. These meetings do not usually determine countywide policy.	a) Transfer records with historical value to Histories File (item 33). b) Destroy in office remaining records when administrative value ends.	
41.	MINUTES AND ATTACHMENTS (PUBLIC HOSPITALS) Official copies of minutes of meetings of the policy making boards.	Permanent. See the <i>Microfilm</i> section on page vii for instructions on microfilming minutes.	
42.	MOTOR POOL LOGS	Destroy in office after 3 years.*	
43.	OFFICE ADMINISTRATION CORRESPONDENCE	Destroy in office when administrative value ends.	
44.	OFFICE SECURITY RECORDS Records concerning the security of the office, its equipment, and office personnel.	Destroy in office when superseded or obsolete.	
45.	ORGANIZATIONAL CHARTS	a) Transfer official copy to Histories File (item 33) when superseded or obsolete. b) Destroy in office all other copies when superseded or obsolete.	
46.	PARKING FILE	Destroy in office when superseded or obsolete.	
47.	PETITIONS (CITIZEN)	Destroy in office after resolution of issue.	
48.	PLANNING AND DEVELOPMENT FILE	a) Transfer records with obvious historical value to Histories File (item 33) when administrative value ends. b) Destroy in office remaining records when administrative value ends.	
49.	POLICIES AND PROCEDURES (ADMINISTRATIVE)	a) Retain internal (agency produced) originals permanently. b) Destroy in office external (reference copies from outside agencies) copies when reference value ends.	
50.	PRINTING REQUEST	Destroy in office when reference value ends.	
51.	PROJECTS FILE	Destroy in office 1 year after project ends.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
52.	PROPERTY AND EQUIPMENT (INVENTORY) FILE	Destroy in office when superseded or obsolete.	
53.	PUBLICATIONS RECEIVED	Destroy in office when reference value ends.	
54.	READING FILE	Destroy in office when administrative value ends, but within 1 year.	
55.	RECORDS MANAGEMENT FILE	Destroy in office when superseded or obsolete.	
56.	REFERENCE FILE Records concerning subjects of interest to office.	Destroy in office when reference value ends.	
57.	REPORTS (INTERNAL)	a) Retain in office 1 copy of biennial and annual reports permanently. b) Destroy in office all other reports when administrative value ends or after 3 years, whichever occurs first.	
58.	REQUISITION FORMS Request for payment of parts and inventory items.	Destroy in office after 1 year.	
59.	RESEARCH AND STUDIES FILE (ADMINISTRATIVE)	Destroy in office when reference value ends.	
60.	RESOLUTIONS AND ORDINANCES	Permanent. See the <i>Microfilm</i> section on page vii for instructions on microfilming minutes.	
61.	STATE AND/OR OTHER COUNTY PROGRAMS	Destroy in office when reference value ends.	
62.	SURPLUS PROPERTY FILE	Destroy in office 3 years after disposition of property.*	
63.	VEHICLE ACCIDENT FILE	Destroy in office after 5 years.*	
64.	VEHICLE REQUESTS	Destroy in office after 2 years.	
65.	VETERANS COMMISSION QUARTERLY REPORTS Quarterly reports listing activities with local veterans commissions.	Destroy in office after 5 years.	
66.	WORK ORDERS (EQUIPMENT REPAIR)	Destroy in office 1 year after completion of work.	
67.	WORK ORDERS (FACILITY-RELATED) Includes plumbing, electrical, and fire inspection and repair records.	Destroy in office after 3 years.	
68.	WORK ORDERS (VEHICLE REPAIR)	Retain for life of the vehicle.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-2. BUDGET, FISCAL AND PAYROLL RECORDS

Records created and accumulated incidental to the managerial control, budgeting, disbursement and collection, and accounting of the public hospital.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AMBULANCE SERVICE BILLS AND RECORDS FOR EMERGENCY MEDICAL SERVICE	Destroy in office 3 years after payment of bill and when released from all audits, whichever occurs later.	
2.	ACCOUNTS PAYABLE Records concerning the status of accounts in which the county owes money to firms or individuals.	Destroy in office after 3 years.*	
3.	ACCOUNTS RECEIVABLE	Destroy in office after 3 years.*	
4.	ACCOUNTS UNCOLLECTABLE	Destroy in office official/audit copies 3 years after account is paid, collected, or determined to be uncollectable.*	
5.	ANNUAL BUDGET	Destroy in office after 3 years (if included in minutes).*	
6.	AUDIT REPORTS Reports listing annual reconciliation.	a) Retain original permanently. b) Destroy copies in office when reference value ends.	
7.	AUTHORIZATION FORMS	Destroy in office after 3 years.*	
8.	BANK STATEMENTS, CANCELED CHECKS, DEPOSIT SLIPS, AND RECONCILIATIONS	Destroy in office after 3 years.*	
9.	BIDS FOR PURCHASE Includes advertisements, requests, tabulations, bid bonds, awards letters and related records.	a) Destroy in office records concerning unsuccessful bids after 1 year. b) Transfer records concerning successful bids to item 13, Contracts, Standard-1. Administration and Management Records, when bid is approved. c) Destroy in office remaining records after 1 year.	Comply with applicable provisions of G.S. §143-52 regarding the confidentiality of bids.
10.	BIDS FOR DISPOSAL OF PROPERTY Records concerning the disposal of surplus county property.	Destroy in office after recording in governing board's minutes.	
11.	BILLING AND CLAIMS	Destroy in office after 3 years.*	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	BOND PRINCIPAL AND INTEREST DUE, NOTICES OF	Destroy in office after 4 years.	
13.	BOND REGISTER Record of bonds and coupons destroyed by county officials.	Permanent.	See G.S. §159-139.
14.	BONDS AND COUPONS, COUNTY	Comply with G.S. §159-139.	See G.S. §142-13 and §159-139.
15.	BUDGETS	a) Destroy end-of-year (June 30) budget reports when reference value ends. b) Destroy in office remaining records after 5 years.*	
16.	BUDGET CORRESPONDENCE	Destroy in office after 2 year.*	
17.	BUDGET ORDINANCES	a) Retain in office permanently official copy in minutes of the governing board. b) Destroy in office remaining copies after 3 years.	
18.	CASH RECEIPTS	Destroy in office after 3 years.*	
19.	CHECK STUBS Stubs for checks written on agency accounts.	a) Destroy official/audit copies after 3 years.* b) Destroy remaining records after 1 year.	
20.	CHECK REGISTER, VARIOUS FUNDS	a) Destroy computerized check registers when released from all audits.* b) Destroy in office all other registers after 3 years.*	
21.	CONTRACT BUDGET AND EXPENDITURE REPORTS	Destroy in office after 3 years.*	Comply with applicable provisions of G.S. §135-40.4(a) & 131E-97.3 for confidentiality of health care contracts.
22.	CREDIT CARD USE FILE	Destroy in office after 2 years.*	
23.	DAILY CASH REPORTS	Destroy in office when released from all audits.	
24.	DAILY DETAIL REPORTS	Destroy in office when administrative value ends, but within 6 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
25.	DAILY JOURNAL AND LEDGER ENTRY UPDATE PRINTOUTS	Destroy in office when released from all audits.	
26.	DEPOSITS	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	
27.	DETAIL REPORT FILE (FINANCIAL RECORDS FOR GENERAL FUND OR GENERAL LEDGER)	a) Destroy in office after 1 year.* b) Retain annual detail report (June 30 th report) permanently.	
28.	DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS	Destroy in office when superseded or obsolete.	
29.	DISTRICT INVESTMENT RECORDS	Destroy in office after 3 years.	
30.	EMPLOYEE EARNING RECORDS	Destroy in office after 4 years.*	
31.	EXPENDITURE REPORTS	Destroy in office after 3 years.*	
32.	FACILITY SERVICE AND MAINTENANCE AGREEMENTS	a) Destroy depreciation schedules 3 years after asset is fully depreciated or disposed. b) Destroy in office remaining records after 3 years.*	
33.	FINANCIAL JOURNALS AND LEDGERS	Destroy in office after 3 years.*	
34.	FISCAL CORRESPONDENCE	Destroy in office after 2 years.*	
35.	GRANTS: FINANCIAL RECORDS Records concerning approved federal, state, and private grants. Includes all relevant accounting, purchasing, payroll, and financial records. Most grantor agencies require grant-related records be maintained 3 years, however, some have a 5 year requirement. Therefore reference should be made to the specific terms of each grant.	a) Destroy federal grants in office after 3 years, and final expenditure reports issued, and when released from all audits, whichever occurs later. Some agencies, however, require 5 years retention.* b) Destroy state and private grants in office after 3 years and final expenditure reports.	
36.	INSURANCE FILE	Destroy in office after 3 years.*	See item 11, Billing and Claims File.

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
37.	INTERNAL REVENUE SERVICE (IRS) TAX FORMS Complete IRS tax forms for agency employees.	Destroy in office after 7 years.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
38.	INVESTMENT RECORDS	Destroy in office after 3 years.	
39.	INVENTORIES OF PROPERTY AND EQUIPMENT	Destroy in office when superseded or obsolete.	
40.	INVOICES	Destroy in office after 3 years.*	
41.	JOURNAL VOUCHERS	Destroy in office after 3 years.*	
42.	JOURNAL AND LEDGERS	Destroy in office after 3 years.*	
43.	LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS	Destroy in office after 3 years.	Comply with provisions of G.S. §159-33 and §159-33.1.
44.	LOCAL GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS	Destroy in office after 3 years.	
45.	MONTHLY BUDGET REPORTS	Destroy in office after 2 years.*	
46.	PAID CHECKS, PAID BILLS/VOUCHERS	Destroy in office after 3 years.*	
47.	PAYROLL DEDUCTION RECORDS Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes bank payments, savings plans, insurance, association dues, W-4 forms, orders of garnishment, etc. Used as proof the employee approved of the deduction(s).	Destroy in office after 7 years.*	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
48.	PAYROLL Payroll records containing information such as the name, social security number, number of hours worked, compensation rate, deductions, and total wages paid each employee per payroll period. Includes individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period.	a) Transfer records documenting personnel actions to individual's personnel jacket. b) Destroy all remaining records in office after 7 years.*	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
49.	PRICE QUOTATIONS	Destroy in office after 1 year.*	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
50.	PROCUREMENTS AND PURCHASING	Destroy in office after 3 years.*	
51.	PURCHASE ORDERS	Destroy in office after 1 year.*	
52.	PURCHASING REPORTS	Destroy in office after 1 year.*	
53.	RECIPIENT CHECK AND CANCELLATION REGISTERS	Destroy in office after 3 years.*	
54.	RETIREMENT (EMPLOYEE) FILE	Destroy in office after 3 years.*	
55.	SALES TAX FILE	Destroy in office after 3 years.*	
56.	TAX ALLOCATIONS	Destroy in office after 3 years.*	
57.	TAX COLLECTIONS	Destroy in office when administrative value ends, but within 10 years.	
58.	TELEPHONE LOGS (BILLINGS)	Destroy in office after 1 year.*	
59.	TIME SHEETS/CARDS	Destroy in office after 7 years.*	
60.	TRAVEL REIMBURSEMENTS	Destroy in office after 1 year.*	
61.	TRAVEL REQUESTS	Destroy in office after 1 year.*	
62.	VEHICLE MAINTENANCE FILE Fill consists of billing records.	Destroy in office when released from all audits.	
63.	VOUCHER REGISTERS FILE, GENERAL EXPENSE AND PERSONAL SERVICE	Destroy in office after 3 years.*	
64.	VOUCHERS, VARIOUS FUNDS	Destroy in office after 3 years.*	
65.	WITHHOLDING TAX FILE Records concerning individual employee's income taxes. Includes wage and income tax reports, IRS forms W-2, W-3, 1099, and similar records of withheld federal and state income taxes.	a) Transfer official copies to appropriate individual personnel jacket when action is taken. b) Destroy remaining records after 4 years.*	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
66.	WORKING PAPERS	Destroy in office when administrative value ends but within 6 years.	

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STANDARD-3. LEGAL RECORDS

Official law and legal documentation created or accumulated to substantiate the rights, obligations, or interests of the public hospital or an individual employee or client.

<i>ITEM #</i>	<i>STANDARD-3: LEGAL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	CIVIL RIGHTS FILE	a) Retain in office permanently all legal records, including court petitions, court orders, etc. b) Destroy in office reference or duplicate copies 3 years after case is closed.	
2.	COMPLAINTS (DISCRIMINATION)	Destroy in office after 3 years.*	
3.	CONTRACTS/AGREEMENTS FOR CONSTRUCTION, EQUIPMENT, AND SUPPLIES FILE	Destroy in office 3 years from date of termination or completion.*	Comply with applicable provisions of G.S. §135-40.4(a) & 131E-97.3 for confidentiality of health care contracts.
4.	CONTRACTS/AGREEMENTS FOR PURCHASE OF SERVICES, SPECIAL PROGRAMS, AND PROJECTS FILE	Destroy in office 3 years from date of termination or completion.*	Comply with applicable provisions of G.S. §135-40.4(a) & 131E-97.3 for confidentiality of health care contracts.
5.	CORRESPONDENCE (LEGAL)	Destroy in office after 3 years.	Comply with provisions of G.S. §132-1.1 regarding confidentiality of legal correspondence.
6.	EASEMENTS	Permanent.	
7.	EQUAL EMPLOYMENT OPPORTUNITY COMMISSION (EEOC) FILE	Destroy in office after 3 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-3: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	INSURANCE POLICIES Records regarding purchased accident, sickness, automobile, theft, fire, life, and all other insurance policies purchased by agency.	Destroy in office after 6 years from date of termination or settlement of all claims, whichever occurs first.*	
9.	LEASES FILE	Destroy in office 3 years after termination of lease.*	
10.	LEGAL OPINIONS Includes opinions rendered by counsel or the State Attorney General's Office concerning the governance and/or administration of local government.	Retain in office permanently.	
11.	LITIGATION CASE RECORDS	a) Retain official legal records permanently. b) Destroy reference or duplicate records in office 3 years after case is closed.	Portions of file may be considered confidential in accordance with G.S. §132-1.1.
12.	ORDINANCES (REFERENCE COPY)	Destroy in office 1 year after termination of ordinances.	
13.	OWNERSHIP RECORDS (DEEDS, TITLES)	Destroy in office 1 year after county relinquishes ownership of land.*	
14.	VEHICLE TITLES	Dispose of in accordance with Division of Motor Vehicle procedures for title transfer upon disposition of vehicle.	
15.	WARRANTIES	Destroy in office 1 year after expiration of warranty.	
16.	WORKERS' COMPENSATION LITIGATION FILE	a) Transfer official copy to Industrial Commission, in accordance with G.S. §97-92, when claim is filed. b) Destroy in office remaining records 1 year after claim is closed. c) Transfer to Litigation Case Records (item-11) if official action is taken.	Comply with applicable provisions of G.S. §97-24 regarding workers' compensation records. Also, comply with applicable provisions of G.S. §132-1.1 regarding confidentiality of legal correspondence.

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-4. PERSONNEL RECORDS

Official records and materials created and accumulated incidental to the employment, qualifications, training and pay status of public hospital employees.

<i>ITEM #</i>	<i>STANDARD-4: PERSONNEL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	ABOLISHED POSITION FILE	Destroy in office when reference value ends.	
2.	ADDRESS FILE	Destroy in office when superseded or obsolete.	
3.	AFFIRMATIVE ACTION FILE	a) Destroy in office reports, analyses, and statistical data after 5 years. b) Destroy in office affirmative action plans 5 years from date superseded.	Per 29 CFR 30.8(e) and 676.35(b).
4.	AFFIRMATIVE ACTION PLANS	Retain per 29 CFR 1608.4.	29 CFR 1608.4
5.	APPLICATIONS, RESUMES AND INTERVIEW RECORDS	a) Transfer records concerning individuals hired to appropriate personnel jacket (item 45) when individual accepts employment. b) Destroy unsolicited applications/resumes in office 2 years after receipt. a) Destroy interview documentation (notes, test scores, question lists, etc.) after 2 years per 29 CFR 1602.14 (1992). c) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.*	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS	a) Destroy in office administrative records after all audits plus 3 years. b) Destroy yearly enrollment records after 1 year. c) Destroy claim records and receipts after all audits plus 3 years.	
7.	COBRA RECORDS (CONSOLIDATED OMBUDSMAN BUDGET RECONCILIATION ACT)	Destroy in office 3 years from date eligibility ended.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
8.	COMPREHENSIVE EMPLOYMENT AND TRAINING ACT (CETA) RECORDS	Destroy in office 5 years from the date of enrollment.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records. Per 20 CFR 676.35(b) and 29 CFR 30.8(e).
9.	CORRESPONDENCE/MEMORANDA (PERSONNEL)	Destroy in office after 3 years.	
10.	DEFERRED COMPENSATION FILE	Destroy in office when reference value ends.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	DISABILITY SALARY CONTINUATION CLAIMS	a) Transfer original forms to Local Government Retirement System for action when received. b) Destroy in office reference copies after 1 year.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
12.	DISCIPLINARY FILE Correspondence and other records concerning disciplinary action taken against employees.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
13.	DRUG AND ALCOHOL PROGRAMS FILE	a) Destroy positive test results in office after 5 years. b) Destroy negative test results in office after 1 year. c) Destroy collection logbooks and training records in office after 2 years. d) Destroy equipment calibration, evaluations and annual summaries in office after 5 years.	47 CFR 382.401D Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
14.	DUAL EMPLOYMENT FILE	Destroy in office when reference value ends.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
15.	EDUCATIONAL LEAVE AND REIMBURSEMENT FILE	a) Destroy in office records concerning approved requests when released from all audits. b) Destroy in office records concerning disapproved requests 6 months after disapproval.	Comply with applicable provisions of 20 USC 1232g regarding the confidentiality of student records.

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	EMPLOYEE CERTIFICATION AND QUALIFICATION RECORDS Records concerning certification or qualification as required for employment, continued employment, or promotion.	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
17.	EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES Includes records listing employees, their job titles, work locations, phone numbers, e-mail address, and similar information.	Destroy in office when superseded or obsolete.	
18.	EMPLOYEE BENEFITS REGISTER	Destroy in office after 2 years.	
19.	EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS Includes records requesting tuition assistance, repayments, and other related records.	Destroy in office 3 years after completion, denial, repayment, removal from program or until audited, whichever is later.	
20.	EMPLOYEE ELIGIBILITY RECORDS Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification forms (I-9) created in accordance with 8 CFR 274a.2 (1993).	a) Destroy certificates, I-9 forms, statements, etc. in office 3 years after individual was hired or 1 year from date of separation, whichever occurs later. b) Destroy registers in office after 2 years.	8 CFR 274a.2 (1993) 8 USCA 1324a
21.	EMPLOYEE EXIT INTERVIEW RECORDS	Destroy in office when administrative value ends or 3 years, whichever occurs first.	
22.	EMPLOYEE HEALTH CERTIFICATES. Includes health or physical examination reports or certificates created to aid in the selection, promotion, or transfer of the applicants or employees	Destroy in office after 2 years per 29 CFR 1602.31.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	EMPLOYEE MEDICAL RECORDS Records concerning asbestos, toxic substances, and bloodborne pathogen exposure, medical examinations required by state or federal law, and records of injury or illness. (Does not include Worker's Compensation or health insurance claim records.) Retention Note: Records must be maintained separately from an employee's personnel jacket.	a) Destroy exposure records 40 years from date of exposure or 30 years from date of separation, whichever occurs later.* b) Destroy remaining records in office after 5 years.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records. Per 29 CFR 1904.6 & 1910.
24.	EMPLOYEE PENSION AND BENEFITS PLANS Includes plans and related records outlining the terms of employee pension plans; life, health, and disability insurance, seniority and merit systems; and deferred compensation plans, including amendments.	Destroy in office 1 year after plan is terminated.	29 CFR 1627.3(b)(2). Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
25.	EMPLOYEE PENSION AND BENEFIT PLAN ENROLLMENT FORMS Forms providing personal identifying data, beneficiary information, option selection, and similar information.	a) Retain permanently pension and deferred compensation forms. b) Destroy life, health, and disability insurance forms 4 years after termination of coverage.	
26.	EMPLOYEE SUGGESTIONS	Destroy in office when administrative value ends.	
27.	EMPLOYEE TRAINING AND EDUCATIONAL RECORDS Includes employee specific records (certificates, transcripts, test scores, etc.) and non-employee specific records (training manuals and aids, syllabi, course outlines, attendance rosters, etc.) relating to the training, testing, or continuing education of employees.	a) Destroy non-employee specific records when superseded or obsolete, but within 5 years. b) Transfer original employee specific records to Personnel Office for review and disposal.	
28.	EMPLOYMENT LISTINGS, ADVERTISEMENTS AND ANNOUNCEMENTS	Destroy in office after 2 years.	29 CFR 1602.31.

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	EQUAL EMPLOYMENT OPPORTUNITY (EEO) COMPLIANCE CASE RECORDS	Destroy in office after 3 years.	
30.	EQUAL EMPLOYMENT OPPORTUNITY (EEO) DISCRIMINATION COMPLAINT CASE RECORDS Records concerning discrimination complaints received and resolved by the county.	Destroy in office 3 years after resolution of case.*	29 CFR 1613.222 (1992).
31.	EQUAL EMPLOYMENT OPPORTUNITY (EEO) REPORTS Includes EEO-1, EEO-4, EEO-5, and EEO-6 reports filed with the Equal Employment Opportunity Commission (EEOC) in accordance with the provision of Title VII and the Americans with Disabilities Act (ADA).	Destroy in office after 3 years.	29 CFR 1602 (1992).
32.	EQUAL PAY RECORDS Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act.	Destroy in office after 2 years.	29 CFR 1620.32.
33.	FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS Records concerning leave taken, premium payments, employer notice, disputes with employees over FMLA and other related records.	Destroy in office after all audits plus 3 years.*	Comply with applicable provisions of G.S. §131E-97.1 and 257.2; N.C. Administrative Code, Title 25, Section 1E.1411; and G.S. §132-1.1 regarding confidentiality of personnel records.
34.	FRINGE BENEFITS FILE	Destroy in office when reference value ends.	
35.	GRIEVANCE FILE Includes initial complaint, investigations, actions, summary and disposition.	Destroy in office 3 years after resolution.*	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	HEALTH INSURANCE FILE Completed claim forms and other records concerning employees covered by health plans.	Destroy in office after 2 years.*	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
37.	INCREMENTS FILE	Destroy in office when released from all audits.	
38.	INTERNSHIP PROGRAM FILE	Destroy in office after 3 years.	Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.
39.	JOB EVALUATION DESCRIPTION FILE	Destroy in office when administrative value ends.	
40.	JOB TRAINING PARTICIPANT ACT (JTPA)	Destroy in office 5 years form date of enrollment.	
41.	LEAVE FILE (See also, Time Sheets/Cards , item 59, Standard-2. Budget and Fiscal Records.)	Destroy in office after 5 years.*	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
42.	LEAVE WITHOUT PAY FILE	Destroy in office 5 years after return of employee or termination of employment.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
43.	LONGEVITY PAY REQUESTS	Destroy in office when released from all audits.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
44.	MERIT FILE	Destroy in office after 2 years.*	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
45.	MILITARY LEAVE FILE	Destroy in office after 2 years.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
46.	PERSONNEL JACKET (OFFICIAL COPY) Official copy of personnel file maintained on each agency employee. File includes personnel action forms and records relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.	Destroy in office 30 years from date of separation. See also EMPLOYEE MEDICAL RECORDS item 23 page 20.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
47.	PERSONNEL RECORDS (REFERENCE COPY) Duplicate copy of official personnel jacket that is often maintained below the department level.	Transfer to Personnel Office for review and disposal following separation.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
48.	POLICIES AND PROCEDURES (PERSONNEL)	a) Retain official copy of internal agency personnel policies permanently. b) Destroy reference copies and external policy procedures when superseded or obsolete.	
49.	POSITION CLASSIFICATION– POSITION HISTORY FILE	Permanent.	
50.	POSITION DESCRIPTION RECORDS Includes information on job title, grade, duties, agency assigned, duties and responsibilities.	Destroy in office when superseded or obsolete.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
51.	POSITION REQUISITION AND ANALYSIS RECORDS Records used to fill vacant positions and request new positions.	Destroy in office when administrative value ends.	
52.	POSITION CONTROL CARDS	Destroy in office when reference value ends.	
53.	SALARY SURVEY RECORDS	Destroy in office when administrative value ends.	
54.	SERVICE AWARDS FILE	Destroy in office 5 years from date of award.	
55.	TEMPORARY EMPLOYEE RECORDS Records concerning temporary employees who were not provided, or eligible for, benefits. Does not include personnel records created for specific federal programs.	Destroy in office 1 year from date of separation.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
56.	UNEMPLOYMENT COMPENSATION CLAIMS Claim form and other related records concerning employment compensation cases.	Destroy in office after 3 years.*	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 and §132-1.1 regarding confidentiality of personnel records.
57.	UNEMPLOYMENT COMPENSATION REPORTS Quarterly reports showing month-to-date wages, month-to-date compensation, year-to-date wages, and year-to-date compensation for each employee. May be filed with Employment Security Commission.	Destroy in office after all audits plus 3 years.	
58.	UNEMPLOYMENT INSURANCE FILE	Transfer original records to the Department of Commerce, Unemployment Insurance Division, when received. Destroy in office remaining records after 2 years.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
59.	WORK PLANNING AND PERFORMANCE REVIEW FILE	Destroy in office after 3 years.	Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.
60.	WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE	a) Transfer original to the Personnel Office. b) Destroy in office reference copy when administrative value ends.	
61.	WORKERS' COMPENSATION PROGRAM CLAIMS FILE Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. File includes Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, reference copies of medical invoices, and other related records. File also includes reference copies. (Records concerning claims filed for injuries which occurred prior to July 5, 1994 are considered permanent records in compliance with <i>Hylar v. GTE Prods. Co.</i> , 333 N. C. 258 S.E.2d 698 (1993).) (Comply with applicable provisions of G.S. §8-53, 97-92(b), and §131E-97.1 and 257.2 regarding the confidentiality of personnel records.	a) Retain in office permanently records concerning claims filed for injuries which occurred prior to July 5, 1994. Transfer official copy of claim records to the Industrial Commission in compliance with G.S. §97-92(a), and in accordance with county personnel office. Retain in office permanently records concerning claims filed for injuries which occurred on or after July 5, 1994, for which the Industrial Commission form "Employee's Claim for Additional Medical Compensation Pursuant to N.C. Gen. Stat. §97-25.1" (Form 18M) has been filed. Destroy remaining records in office 5 years after closing, in accordance with G.S. §97-24(c), if no litigation, claim, audit, or other official action involving the records has been initiated.* b) If official action has been initiated, transfer to the Worker's Litigation File, in Standard-3. Legal Records, item 17.	Portions of file may be considered confidential in accordance with G.S. §97-92(b). Comply with applicable provisions of G.S. §131E-97.1 and 257.2 regarding confidentiality of personnel records.

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-5. PROGRAM OPERATIONAL RECORDS: ALL PROGRAMS**Records common to all departments of a public hospital.**

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-5: PROGRAM OPERATIONAL RECORDS: ALL PROGRAMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCREDITATION FILE Records generated or accumulated to prove compliance with those standards outlined by accrediting agencies whether public or private. File includes survey results and inspection reports, notices of corrections, correction reports, and in-house surveys and testing done prior to the actual accreditation survey. File also includes public notices required by accrediting agencies and any additional supporting records necessary for the survey, inspection, and/or correction of deficiencies.	Destroy in office 3 years after next accreditation report is issued.	
2.	CONSULTATIONS FILE Summaries of consultations held with patients.	Transfer to appropriate clinical record upon completion.	
3.	DAILY CHARGE REPORTS Reports summarizing charges to daily in-patients.	Destroy in office after 5 years if no claim, audit, or other official action involving the records has been initiated.*	
4.	FOLLOW-UPS FILE Records of follow-up appointments with patients.	Transfer to appropriate clinical record upon completion.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-5: PROGRAM OPERATIONAL RECORDS: ALL PROGRAMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	INFECTION CONTROL RECORDS Records created and/or received by a hospital's infection control program. File includes surgical and device infection investigation reports; training course content and the review and evaluation of all septic, isolation, and sanitation techniques used in the hospital; run and control charts; line listing; surveillance records and logs; infection control reports; and similar records which attempt to identify, report, and evaluate infections. File also includes records and reports of employees who may have been or were exposed to a communicable disease, their work restrictions, and estimated date of reinstatement.	a) See STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS , item 57 REPORTS FILE for disposition of infection control reports. b) Destroy in office after 5 years if no claim, audit, or other official action involving the records has been initiated.*	
6.	IN-SERVICE EDUCATION TRAINING RECORDS (PROGRAM) Records concerning the development and administration of in-service education programs to improve competency of hospital personnel. File includes course schedules and curricula, attendance rosters, names of instructors, course materials, objectives and criteria, authorizations to participate in training programs, completion records and certificates of attendance, brochures announcing and describing training offered, and related records.	Destroy in office after 3 years.	
7.	IN-SERVICE EDUCATION TRAINING RECORDS (PERSONNEL) Records documenting the training of hospital personnel to improve competency in specific areas. File includes individual summary reports listing course number, date taken, course name, hours completed and total hours earned; credential, in-service, and competency records listing certifications received; credentials; mandatory in-service training; and competencies and other related records.	a) Transfer original records to the hospital's personnel office to be incorporated into employee's personnel file. b) Destroy in office reference copies when administrative value ends.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, **STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS**, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-5: PROGRAM OPERATIONAL RECORDS: ALL PROGRAMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	LOGBOOKS Logbooks documenting patient registration, medical record number, date, appointments, procedure, and all department activities.	Destroy in office when administrative value ends.	
9.	PERFORMANCE IMPROVEMENT AND QUALITY ASSURANCE RECORDS Records concerning quality assurance. File includes analyses of problems and lists of areas that need improvement, medication error reports, occurrence reports, incident reports, performance improvement summaries, critical pathways, and formal and informal data collection logs and records. (See also Item 10- RISK MANAGEMENT RECORDS FILE.)	Destroy in office when administrative value ends or after 3 years, whichever occurs first.	
10.	RISK MANAGEMENT RECORDS FILE Records created and/or received by a hospital's risk management program in accordance with G.S. §131E-96 . File includes records of education and training of all non-physician personnel, analyses of patient grievances, incident review reports and records, risk management committee minutes, risk management plans and corporate policy directives, and procedures manuals giving guidance to hospital personnel on the care and treatment of patients to manage risks of injury to patients, visitors, employees, and property. These records are often vital to malpractice cases as they establish the conditions under which care was provided.	See STANDARD-24. RISK MANAGEMENT RECORDS . Destroy all records not covered in STANDARD-24 when administrative value ends or after 10 years, whichever occurs first.	
11.	SCHEDULING FILE: MEDICAL PERSONNEL Schedules for medical personnel including physicians, medical aides, nursing staff, and other support personnel who provide medical treatment. Schedules may be maintained on a daily, weekly, monthly or bimonthly basis.	Destroy in office after 5 years if no claim, audit, or other official action involving the records has been initiated.*	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

<i>ITEM #</i>	<i>STANDARD-5: PROGRAM OPERATIONAL RECORDS: ALL PROGRAMS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
12.	SCHEDULING FILE: PATIENTS Lists of all patients seen or scheduled to be seen in the departments.	Destroy in office when superseded or obsolete.	
13.	STATISTICAL MONTHLY REPORTS Monthly statistical reports for all programs.	Destroy in office after 5 years.	
14.	WEEKLY REPORTS Weekly activity reports for all programs.	Destroy in office upon completion of biannual or annual summary report.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals). 27

STANDARD-6. PROGRAM OPERATIONAL RECORDS: BIOMEDICAL ENGINEERING RECORDS**Records concerning the service and repair of biomedical equipment used by public hospitals.**

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-6: PROGRAM OPERATIONAL RECORDS: BIOMEDICAL ENGINEERING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	COST OF REPAIRS AND MAINTENANCE FILE Spreadsheets and other related records concerning repair and maintenance costs of biomedical equipment.	Destroy in office after 3 years and when released from all audits, whichever occurs later.	
2.	INSPECTION OF BIOMEDICAL EQUIPMENT FILE Results of inspections of biomedical equipment.	Destroy in office upon final disposition of equipment, or after 2 years, whichever occurs later.	
3.	SERVICE RECORDS FILE Test results, descriptions of work performed, and other related records concerning service to biomedical equipment.	Destroy in office 1 year after completion of work.	
4.	WORK ORDERS Work orders submitted for repairs to biomedical equipment.	Destroy in office 1 year after completion of work.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, *STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS*, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-7. PROGRAM OPERATIONAL RECORDS: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS

Records concerning insurance claims and payments, Medicare and Medicaid disbursements, medical bills, and other financial activities for patients served by the public hospital. See STANDARD-2. BUDGET AND FISCAL RECORDS guidelines for the disposition of records concerning routine hospital (non-patient related) financial activities.

In accordance with G.S. §131E-97, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in G.S. §132-6. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and G.S. §8-53 (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADJUSTED PATIENT ACCOUNTS Records of adjustments to patients' bills and insurance claims.	a) Medicare/Medicaid patients: Destroy in office after 5 years and when released from all audits, whichever occurs later. b) All other patients: Destroy in office after 3 years and when released from all audits, whichever occurs later.	
2.	BAD DEBT MEDICARE LOGS Logs listing patients' accounts sent to collection agencies.	Destroy in office after 5 years and when released from all audits, whichever occurs later.	
3.	INSURANCE CLAIMS FILE Claim forms submitted to insurance companies.	a) Medicare/Medicaid patients: Destroy in office after 5 years and when released from all audits, whichever occurs later. b) All other patients: Destroy in office after 3 years and when released from all audits, whichever occurs later.	
4.	INSURANCE PENDING REPORTS Reports summarizing unpaid insurance claims.	a) Medicare/Medicaid patients: Destroy in office after 6 years and when released from all audits, whichever occurs later. b) All other patients: Destroy in office after 3 years and when released from all audits, whichever occurs later.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	MEDICAID LOGS Logs listing payments made to healthcare providers by Medicaid.	Destroy in office after 5 years and when released from all audits, whichever occurs later.	
6.	MEDICARE DISBURSEMENT REPORTS Reports summarizing funds received from Medicare and the accounts to which they are posted.	Destroy in office after 5 years and when released from all audits, whichever occurs later.	
7.	MEDICARE LOGS Logs listing payments made to healthcare providers by Medicare.	Destroy in office after 5 years and when released from all audits, whichever occurs later.	
8.	PAID-UP SLIPS OR ZERO BALANCES Records documenting paid balances.	a) Medicare/Medicaid patients: Destroy in office after 5 years and when released from all audits, whichever occurs later. b) All other patients: Destroy in office after 3 years and when released from all audits, whichever occurs later.	
9.	PATIENT REFUND LOGS Logs listing refunds issued to patients and insurance companies.	a) Medicare/Medicaid patients: Destroy in office after 5 years and when released from all audits, whichever occurs later. b) All other patients: Destroy in office after 3 years and when released from all audits, whichever occurs later.	
10.	PAYMENT VOUCHERS Vouchers for payments received by patients and insurance companies.	a) Medicare/Medicaid patients: Destroy in office after 5 years and when released from all audits, whichever occurs later. b) All other patients: Destroy in office after 3 years and when released from all audits, whichever occurs later.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-8. PROGRAM OPERATIONAL RECORDS: CARDIOPULMONARY SERVICES RECORDS**Records concerning cardiopulmonary services.**

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: CARDIOPULMONARY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ARTERIAL BLOOD GAS LOGBOOKS Logbooks showing results of blood tests to check oxygen and carbon dioxide levels. File also includes statistics on technician's accuracy levels.	Destroy in office when administrative value ends.	
2.	ARTERIAL BLOOD GAS SLIPS. File includes electronic copies of raw test and slips showing results of blood tests to check oxygen and carbon dioxide levels.	a) Transfer original slips and test results to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records). b) Destroy in office remaining records and copies of the test, including electronic copies and videotape copies of the test, concerning adult patients 5 years from date of last service, if no claim, audit, or other official action involving the records has been initiated.* c) Destroy in office remaining records and copies of the test, including electronic copies and videotape copies of the test, concerning pediatric patients when patient reaches 21 years of age, if patient has not received services within the past 10 years, and if no claim, audit, or other official action involving the records has been initiated.*	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, **STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS**, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: CARDIOPULMONARY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	CARDIOPULMONARY SERVICES: PATIENT LOGBOOK. Records include logs for electrocardiograms, stress tests, RSV's, AVG's, carboxy hemoglobin, electroencephalograms, PFT's, blood gas, sonograms, and quality control. Logs document who ordered, performed, as well as the date, time, patient's account number, and whether in-patient or out-patient.	Destroy in office when administrative value ends.	
4.	CARDIOPULMONARY SERVICES: STATISTICAL MONTHLY REPORTS Reports documenting activity of the cardiopulmonary department.	Destroy in office after 5 years.	
5.	ECHO REPORTS Echocardiograms or sonograms of the heart. File includes test results, computer printouts of the test results, as well as electronic or videotape copy of the test performance.	a) Transfer test results to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records). b) Destroy in office remaining records and copies of the test, including electronic copies and videotape copies of the test, concerning adult patients 5 years from date of last service if no claim, audit, or other official action involving the records has been initiated.* c) Destroy in office remaining records and copies of the test, including electronic copies and videotape copies of the test, concerning pediatric patients when patient reaches 21 years of age, if patient has not received services within the past 10 years, and if no claim, audit, or other official action involving the records has been initiated.*	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: CARDIOPULMONARY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	ELECTROCARDIOGRAM (EKG) TESTS Results of the tests of the electrical impulses of the heart. File includes test results, computer printouts of the test results, as well as electronic or videotape copy of the test performance.	a) Transfer test results to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records). b) Destroy in office remaining records and copies of the test, including electronic copies and videotape copies of the test, concerning adult patients 5 years from date of last service if no claim, audit, or other official action involving the records has been initiated.* c) Destroy in office remaining records and copies of the test, including electronic copies and videotape copies of the test, concerning pediatric patients when patient reaches 21 years of age, if patient has not received services within the past 10 years, and if no claim, audit, or other official action involving the records has been initiated.*	
7.	ELECTROENCEPHALOGRAM (EEG) LAB REPORTS Results of electrical impulse brain wave. File includes test results, computer printouts of the test results, as well as electronic or videotape copy of the test performance.	a) Transfer test results to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records). b) Destroy in office remaining records and copies of the test, including electronic copies and videotape copies of the test, concerning adult patients 5 years from date of last service if no claim, audit, or other official action involving the records has been initiated.* c) Destroy in office remaining records and copies of the test, including electronic copies and videotape copies of the test, concerning pediatric patients when patient reaches 21 years of age, if patient has not received services within the past 10 years, and if no claim, audit, or other official action involving the records has been initiated.*	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: CARDIOPULMONARY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	PULMONARY FUNCTION TEST REPORTS (amended) Lung function test results. File includes slips, computer printouts of the test results, as well as electronic copies or videotapes of the test performance.	a) Transfer test results to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records). b) Destroy in office remaining records and copies of the test, including electronic copies and videotape copies of the test, concerning adult patients 5 years from date of last service if no claim, audit, or other official action involving the records has been initiated.* c) Destroy in office remaining records and copies of the test, including electronic copies and videotape copies of the test, concerning pediatric patients when patient reaches 21 years of age, if patient has not received services within the past 10 years, and if no claim, audit, or other official action involving the records has been initiated.*	
9.	STRESS TEST REPORTS Electrocardiogram test results of patients who are exercising. File includes test results, computer printouts of test results, as well as electronic or videotape copy of test performance.	a) Transfer test results to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records). b) Destroy in office remaining records and copies of the test, including electronic copies and videotape copies of the test, concerning adult patients 5 years from date of last service if no claim, audit, or other official action involving the records has been initiated.* c) Destroy in office remaining records and copies of the test, including electronic copies and videotape copies of the test, concerning pediatric patients when patient reaches 21 years of age, if patient has not received services within the past 10 years, and if no claim, audit, or other official action involving the records has been initiated.*	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

<i>ITEM #</i>	<i>STANDARD-8: PROGRAM OPERATIONAL RECORDS: CARDIOPULMONARY SERVICES RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
10.	TECHNOLOGISTS' WORKSHEETS Worksheets and checklists completed by technologists who conduct electroencephalograms.	Destroy in office when administrative value ends.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, *STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS*, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-9. PROGRAM OPERATIONAL RECORDS: CLINICAL RECORDS**Records concerning patient care at public hospitals.**

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-9: PROGRAM OPERATIONAL RECORDS: CLINICAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABSTRACTING REPORTS Reports containing monthly, fiscal year, and calendar year executive summaries, summaries of service, death lists, diagnosis and procedure frequencies, and other related information.	Destroy in office when administrative value ends.	
2.	ADMISSION/DISCHARGE/TRANSFER REPORTS Records documenting the admission, discharge, and transfer of patients. Files may include lists of patient's name, age, sex, race, address, financial class, services received, admitting doctor, date admitted, date discharged, and date transferred, floor, room, and other related information.	Destroy in office when reference value ends or after 10 years, whichever is later.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-9: PROGRAM OPERATIONAL RECORDS: CLINICAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	ADULT RECORDS (INPATIENT AND OUTPATIENT) Patient clinical records for adults served by the public hospital. File includes emergency room reports, admission records, physical examination and laboratory reports, medical and surgical treatment notes, discharge plans and summaries, patient transfer certifications, radiology and diagnostic imaging records, medication administration records, living wills, authorizations to release patient information, pre-op checklists, and other related records.	a) Destroy in office 11 years from date of last service in accordance with NCAC 3C.3903(a) if no claim, audit, or other official action involving the records has been initiated.* b) Prior to destruction, public notice shall be made to permit former patients or their representatives to claim their own records in accordance with NCAC 3C.3903(d). Public notice shall be in at least two forms: written notice to the former patients or their representative and display of an advertisement in a newspaper of general circulation in the area of the facility.	
4.	CANCER REGISTRY PROGRAM FILE Records documenting the treatment of cancer patients. File includes patient indices, abstracts, summaries of follow-up examinations, logs, and/or created for statistical reporting purposes. File may include copies of original records found in ADULT RECORDS (INPATIENT AND OUTPATIENT) FILE and PEDIATRIC RECORDS (INPATIENT AND OUTPATIENT) FILE .	Retain in office permanently information with obvious historical value. Destroy in office remaining records when administrative value ends.	
5.	CANCER REGISTRY DATABASE (ELECTRONIC FILE) Electronic database used to transfer abstracted information on cancer patients to the North Carolina Department of Health and Human Services and/or the American College of Surgeons.	a) Back-up by copying all electronic files to magnetic tape, disk, or other machine-readable medium and storing the copy at a secure, protected, off-site location. Update those backup files periodically by erasing and/or exchanging them with media containing more current data. b) Erase or delete in office information concerning cancer patients when administrative value ends provided information has been transferred to the North Carolina Department of Health and Human Services and/or the American College of Surgeons, and receipt verified.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-9: PROGRAM OPERATIONAL RECORDS: CLINICAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	COMMUNICABLE DISEASE REPORTS Report cards and supporting records of communicable diseases reported to the North Carolina Department of Health and Human Services. File includes patient's name, address, social security number, race, sex, and date of onset and information regarding the specific disease being reported.	Destroy in office after 3 years if not made part of a patient's clinical record.	
7.	CORRESPONDENCE LOG Logs and electronic records detailing patient-related correspondence, including patient release of records.	Destroy in office after 6 years.	
8.	DEPARTMENTAL MINUTES Meeting minutes and notes of departmental staff meetings.	Destroy in office after 3 years.	
9.	FETAL MONITORING STRIPS Records documenting the fetal heart rate.	a) Transfer original strips to patient's medical file. (See Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records). b) Destroy in office duplicate copies when patient reaches 30 years of age and if the patient has not received medical services within the past 10 years, and if no claim, audit, or other official action involving the records has been initiated.*	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-9: PROGRAM OPERATIONAL RECORDS: CLINICAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	PEDIATRIC RECORDS (INPATIENT AND OUTPATIENT) Patient clinical records for pediatric patients (birth to eighteen years of age) served by the public hospital. File includes emergency room reports, admission records, physical examination and laboratory reports, medical and surgical treatment notes, discharge plans and summaries, patient transfer certifications, radiology and diagnostic imaging records, medication administration records, pre-op checklists, authorizations to release patient information, consent to test forms, fetal heart monitors, birth certificate worksheets, and other records concerning newborn infants, and other related records.	a) Destroy in office when patient reaches 30 years of age in accordance with 10 NCAC 3C.3903(b) if patient has not received services within the past 10 years and if no claim, audit, or other official action involving the records has been initiated.* b) Prior to destruction, public notice shall be made to permit former patients or their representatives to claim their own records in accordance with NCAC 3C.3903(d). Public notice shall be in at least two forms: written notice to the former patients or their representative and display of an advertisement in a newspaper of general circulation in the area of the facility.	
11.	QUALITY ASSURANCE REPORTS Quality assurance reports.	Destroy in office after 3 years.	
12.	RECORD COUNT LISTS File includes a count of delinquent records and a delinquent records statistical report.	Destroy in office after 2 years.	
13.	TRANSCRIPTION LOGS Logs detailing transcription activities for physicians' notes.	Destroy in office after 3 months.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-10. PROGRAM OPERATIONAL RECORDS: FOOD SERVICE RECORDS**Records concerning food service at public hospitals.**

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-10: PROGRAM OPERATIONAL RECORDS: FOOD SERVICE RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	CAFETERIA SURVEY FILE Cafeteria surveys of food service programs.	Destroy in office every 3 months.	
2.	CYCLE MENUS: PATIENT FILE Food service menus for patients.	Destroy in office after 36 weeks.	
3.	CYCLE MENUS: PATIENT MENU REQUESTS FILE Patients' daily meal requests.	Destroy in office daily.	
4.	CAFETERIA FILE Food service menus for the hospital's cafeteria.	Destroy in office after 36 weeks.	
5.	DIETARY REPORTS Production, commodity inventories, receipts, analysis, reimbursement/claim, verification, and similar reports created according to hospital administrative procedures or U.S. Department of Agriculture regulations. Reports may include a breakdown of total meals served, total invoices, food purchases, food cost per meal, meals created, nursing unit supplies, and supplemental foods used.	a) Retain in office 1 copy of annual and biennial reports permanently. b) Destroy in office all other reports after 3 years.	
6.	DISCHARGE SLIPS Record indicating that patient has been discharged from the hospital.	Destroy in office after 30 days.	

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ITEM #	STANDARD-10: PROGRAM OPERATIONAL RECORDS: FOOD SERVICE RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	EDUCATION FUNCTION FILE Licensing and certification verification.	Destroy in office after 2 years.	
8.	ENVIRONMENTAL MONITORING RECORDS Refrigerator temperature sheets and similar records used to monitor environmental conditions within food storage areas. File also includes any documentation regarding corrective actions taken to rectify problems.	Destroy in office after 3 years.	
9.	FOOD COSTS FILE Orders for food from vendors.	Destroy in office after 5 years and when released from all audits, whichever is later.	
10.	FOOD SERVICE PROGRAMS FILE Records concerning food service programs. File includes daily, weekly, and monthly reconciliation reports; patient count served; commodity inventory reports; receipt reports; analysis reimbursement/claim reports; verification reports; and other related records created according to U.S. Department of Agriculture regulations.	Destroy in office after 5 years and when released from all audits, whichever occurs later.	
11.	INSECT TREATMENT REPORTS Reports summarizing insect prevention and treatment activities in food service areas.	Destroy in office after 3 years.	
12.	IN-SERVICE EDUCATION FILE Department orientation, training and development materials.	Destroy in office after 3 years.	
13.	INVENTORY REVIEW FILE Yearly inventory of food.	Destroy in office after 3 years.	
14.	MEAL PRODUCTION RECORDS Daily meal production records, food costs and patient reports, and other related records.	Destroy in office after 1 year.	
15.	NOURISHMENT SHEETS FILE Doctor requested patient nutritional needs. Information is maintained on patient charts.	Destroy in office after 2 years.	
16.	OMIT AND DELAY SHEETS FILE Patient meals that are omitted or delayed due to surgery.	Destroy in office after 30 days.	

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ITEM #	STANDARD-10: PROGRAM OPERATIONAL RECORDS: FOOD SERVICE RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	PATIENT PREFERENCE FORM Indicates patient's nutritional preferences and any food sensitivities.	Destroy in office after 3 years.	
18.	PATIENT SURVEY Patients' surveys of food service programs.	Destroy in the office after 2 years.	
19.	PERFORMANCE IMPROVEMENT RECORDS Customer complaints and satisfaction surveys, improvement plans and similar records used to manage, monitor, and improve a public hospital's food service program.	Destroy in office after 2 years.	
20.	PRODUCTION SHEETS FILE Meal production sheets showing number of items per meal and substitutions when given.	Destroy in office after 1 year.	
21.	SAFETY SURVEY REPORTS AND COMMITTEE MEETINGS Material Safety Data Sheets (MSDS) indicating potential chemical hazards in the cafeteria and committee training forms.	Retain in office permanently.	
22.	SANITATION/INSPECTION REPORTS Sanitation inspection results and reports.	Destroy in office after 3 years.	
23.	SERVICE CHECKLIST Check on food temperatures in the serving line.	Destroy in office after 3 years.	
24.	USDA DONATED FOOD FILE Food donated to hospitals by USDA.	Destroy in office after 5 years.	
25.	VENDING MACHINE REPORTS Reports summarizing vending machine usage.	Destroy in office after 2 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-11. PROGRAM OPERATIONAL RECORDS: INDICES**Indices maintained in various departments at the public hospital.**

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-11: PROGRAM OPERATIONAL RECORDS: INDICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AMBULATORY INDEX Ambulatory services index listing patients' names, date and time of arrival or treatment, physicians' names, medical record numbers, procedures performed, and other related information.	Destroy in office when reference value ends.	
2.	DISEASE (DIAGNOSTIC) INDEX Index of diseases diagnosed.	Destroy in office when reference value ends.	
3.	MASTER PATIENT INDEX Medical record index listing patients' names, discharge dates, medical record numbers, dates of service, financial class, attending physicians' names, procedures performed, diagnostic and procedural codes, and other related information.	Retain in office permanently.	
4.	OPERATIVE INDEX Operative index listing patients' names, date and time of arrival or treatment, physicians' names, medical records numbers, procedures performed, and other related information.	Destroy in office when reference value ends.	

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<i>ITEM #</i>	<i>STANDARD-11: PROGRAM OPERATIONAL RECORDS: INDICES</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
5.	PHYSICIANS INDEX Physicians index listing patient's name, date and time of service, physicians' names, medical records numbers, procedures performed, and other related information.	Destroy in office when reference value ends.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, *STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS*, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-12. PROGRAM OPERATIONAL RECORDS: LABORATORY SERVICES

Records concerning laboratory services and analyses conducted by public hospitals for inpatient and outpatient care.

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-12: PROGRAM OPERATIONAL RECORDS: LABORATORY SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AUTOPSY AND SURGICAL PATHOLOGY RECORDS: ACCESSION RECORDS Accession records concerning chain of custody of laboratory samples.	Destroy in office after 2 years.	
2.	AUTOPSY AND SURGICAL PATHOLOGY: INSTRUMENT MAINTENANCE RECORDS Maintenance summaries and logs for laboratory instruments and equipment.	Destroy in office upon final disposition of equipment, or after 5 years, whichever occurs later.	
3.	AUTOPSY AND SURGICAL PATHOLOGY: PARAFFIN BLOCKS Paraffin blocks containing autopsy and surgery samples.	Destroy in office after 10 years.	
4.	AUTOPSY AND SURGICAL PATHOLOGY: PATHOLOGY REPORTS Reports listing results of laboratory analyses on autopsy and surgery samples and slides.	Transfer original reports to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records).	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, **STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS**, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-12: PROGRAM OPERATIONAL RECORDS: LABORATORY SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	AUTOPSY AND SURGICAL PATHOLOGY: PATIENT CHARTS (LABORATORY COPY) Copies of patient charts documenting the requisitioning, processing, testing, and reporting of patient specimens. File includes test requisition forms, accession records, slide loan/referral forms, and other related records concerning the performance of each step of a patient's testing.	Destroy in office after 2 years.	
6.	AUTOPSY AND SURGICAL PATHOLOGY: SLIDES Slides containing samples to be examined under a microscope.	Destroy in office after 10 years.	
7.	AUTOPSY AND SURGICAL PATHOLOGY: WET TISSUE Wet tissue samples.	a) Destroy in office samples from autopsies 3 months after completion of final report. b) Destroy in office samples from surgeries 30 days after completion of final report.	

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ITEM #	STANDARD-12: PROGRAM OPERATIONAL RECORDS: LABORATORY SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	CLINICAL LABORATORY RECORDS: BLOOD BANK RECORDS Records used to monitor the process by which blood products are made available and used. File includes donor information and informed consent forms; records concerning the storage, distribution, and visual inspection of blood products; compatibility testing; component preparation; therapeutic bleedings; and immunizations. File also includes blood collection and processing results; interpretations of all tests and re-tests; labeling; emergency release of blood; and equipment calibration and performance checks. File also includes transfusion reaction reports and complaints; investigations, errors and accident records; difficulties in blood typing reports; exposures to transmissible diseases; supplies and reagents including the disposition of rejected supplies; and reagents and the final disposition reports of blood products. (See 21 CFR 606.160, 606.165, and 606.170.)	Destroy in office no less than 5 years after the records of processing have been completed, or 6 months after the latest expiration date for the individual product, whichever occurs later, in accordance with 21 CFR 606.160(d). Retain in office permanently records concerning blood products with no expiration date.	
9.	CLINICAL LABORATORY RECORDS: DONORS DEEMED UNSUITABLE FILE Records used to identify unsuitable donors so that their blood products will not be distributed. (See 21 CFR 606.160(e)).	Retain in office for life of donor, then destroy.	
10.	CLINICAL LABORATORY RECORDS: INSTRUMENT MAINTENANCE RECORDS Maintenance summaries and logs for laboratory instruments and equipment.	Destroy in office upon final disposition of equipment, or after 5 years, whichever occurs later.	
11.	CLINICAL LABORATORY RECORDS: LABORATORY REGISTER Log of laboratory tests performed.	Retain in office permanently.	

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ITEM #	STANDARD-12: PROGRAM OPERATIONAL RECORDS: LABORATORY SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	CLINICAL LABORATORY RECORDS: PROFICIENCY TESTING FILE Records used to attest the handling, preparation, processing, examination, and reporting of results for all proficiency testing. File includes testing report forms, records documenting testing failures and corrective actions, and other related records.	Destroy in office 2 years after date of the test.	
13.	CLINICAL LABORATORY RECORDS: QUALITY CONTROL FILE Records documenting each step in the processing and testing of all quality control samples to assure they are tested in the same manner as daily patient samples.	Destroy in office after 2 years.	
14.	CLINICAL LABORATORY RECORDS: REPORTS Reports listing results of laboratory analyses.	Transfer original reports to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records).	
15.	CLINICAL LABORATORY RECORDS: REQUESTS FOR LABORATORY TESTS Requests to have laboratory tests performed.	Destroy in office after 2 years.	
16.	CYTOLOGY RECORDS: ACCESSION RECORDS FILE Accession records concerning chain of custody of laboratory samples.	Destroy in office after 2 years.	
17.	CYTOLOGY RECORDS: INSTRUMENT MAINTENANCE RECORDS FILE Maintenance summaries for laboratory instruments and equipment.	Destroy in office upon final disposition of equipment, or after 5 years, whichever occurs later.	
18.	CYTOLOGY RECORDS: REPORTS Reports listing results of laboratory cytological analyses.	Transfer original reports to patient's medical file(See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records).	

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ITEM #	STANDARD-12: PROGRAM OPERATIONAL RECORDS: LABORATORY SERVICES		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	CYTOLOGY RECORDS: SLIDES (NEGATIVE OR UNSATISFACTORY) Slides containing negative or unsatisfactory samples.	Destroy in office after 5 years.	
20.	CYTOLOGY RECORDS: SLIDES (SUSPICIOUS OR POSITIVE) Slides containing suspicious or positive samples.	Destroy in office cytological stained slides after 5 years. Destroy in office fine needle aspiration slides after 10 years.	
21.	DAILY WORKSHEETS/LOGS/REPORTS Daily in-office worksheets, logs, or reports listing activities of laboratory employees.	Destroy in office after 2 years.	
22.	INSTRUMENT MAINTENANCE FILE Records concerning the maintenance of equipment. File includes daily function and performance checks, sterile technique checks, instrument calibrations per manufacturer's instructions, instrument printouts, and similar records.	Destroy in office records concerning repairs, parts replacement, or annual maintenance upon final disposition of equipment. Destroy in office all other records after 5 years.	
23.	LABORATORY REPORTS Autopsy, histology, pathology, chemistry, hematology, urinalysis, bacteriology, serology, cytology, and similar reports detailing the results of laboratory analyses.	Transfer original reports to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records).	
24.	LABORATORY PROCEDURES/PROTOCOL FILE Records and manuals detailing procedures for conducting tests, disposing of specimens, reporting instructions, and similar information.	Destroy in office discontinued or superseded procedures after 2 years.	

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STANDARD-13. PROGRAM OPERATIONAL RECORDS: NUCLEAR MEDICINE, RADIATION THERAPY, AND RADIOLOGY RECORDS
Records concerning patient x-rays, radiation treatments, and similar activities at the public hospital.

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-13: PROGRAM OPERATIONAL RECORDS: NUCLEAR MEDICINE, RADIATION THERAPY, AND RADIOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	APPOINTMENT LOGBOOKS Logbooks listing appointments for radiation therapy or radiology.	Destroy in office after 2 years.	
2.	CARDIAC CATHETER FILE Test on coronary arteries. File includes film and electronic images produced during procedure and report of procedure.	a) Transfer original reports to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records). b) Destroy in office film and electronic images concerning pediatric patients when patient reaches 21 years of age, if patient has not received services within the past 10 years and if no claim, audit, or other official action involving the records has been initiated.* c) Destroy in office film and electronic images concerning adult patients 5 years from date of last service, if no claim, audit, or other official action involving the records has been initiated.*	
3.	CESIUM BOOK Record of long-life radioisotope used to calibrate camera equipment.	Maintain record for length of license or registration of facility.	

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ITEM #	STANDARD-13: PROGRAM OPERATIONAL RECORDS: NUCLEAR MEDICINE, RADIATION THERAPY, AND RADIOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	CUMULATIVE OCCUPATIONAL EXPOSURE HISTORY Records concerning radiation exposure levels of hospital staff. File includes film badge reports and other related records.	Transfer to employee's personnel file upon termination of employment.	
5.	DAILY STATISTICAL SHEETS AND LOGS Statistical sheets and logs documenting the number of patients given examinations during a given reporting period. Records list patient names, names of attending physicians, type and number of examinations performed, and other related information.	a) Retain in office 1 copy of each biennial and annual report permanently. b) Destroy in office remaining records after 3 years and when released from all audits, whichever occurs later.	
6.	DOSES ADMINISTERED FILE Logs or similar records documenting the amount of radiation given to patients.	a) Transfer to appropriate clinical record if patient is receiving radiation therapy. b) Destroy in office after 3 years if patient is not receiving radiation therapy.	
7.	ELECTRONIC RADIOGRAPHIC FILE Radiographic cases documented electronically. Film may be produced from during the test.	a) Transfer original reports to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records). b) Destroy in office film or electronic copy of test concerning pediatric patients when patient reaches 21 years of age, if patient has not received services within the past 10 years and if no claim, audit, or other official action involving the records has been initiated.* c) Destroy in office records film or electronic copy of test for adult patients 5 years from date of last service if no claim, audit, or other official action involving the records has been initiated.*	
8.	EQUIPMENT REGISTRATION Registration information for radiology and radiation therapy equipment.	Destroy in office upon final disposition of equipment	

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ITEM #	STANDARD-13: PROGRAM OPERATIONAL RECORDS: NUCLEAR MEDICINE, RADIATION THERAPY, AND RADIOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	IMAGING SERVICES FILE Nuclear medicine exams and imaging diagnostic tests, including CAT scans and MRI scans. File may include film and electronic images produced during the test.	a) Transfer original reports to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records). b) Destroy in office film and electronic records concerning pediatric patients when patient reaches 21 years of age, if patient has not received services within the past 10 years and if no claim, audit, or other official action involving the records has been initiated.* c) Destroy in office records film and electronic records concerning adult patients 5 years from date of last service if no claim, audit, or other official action involving the records has been initiated.*	
10.	MAMMOGRAM FILMS Mammography films. File also includes x-rays, doctors' orders, and other related records.	a) If file is only mammogram on record, destroy in office 10 years from date of last service or when subsequent mammogram has been taken, whichever comes later, if no claim, audit, or other official action involving the records has been initiated. Transfer copy of report to patient's medical record, as per 10 NCAC 3C.390s.* b) Destroy in office 5 years from date of last service if no claim, audit, or other official action involving the records has been initiated. Transfer copy of report to patient's medical record, as per 10 NCAC 3C.390s.*	
11.	QUALITY CONTROL RECORDS Records concerning a public hospital's quality control for radiology programs. File includes routine surveys, instrument calibrations and quality control tests, silver recovery records, and other related records.	Destroy in office after 3 years and when released from all audits, whichever occurs later.	

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ITEM #	STANDARD-13: PROGRAM OPERATIONAL RECORDS: NUCLEAR MEDICINE, RADIATION THERAPY, AND RADIOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	RADIATION PROTECTION PROGRAM FILE Records and reports documenting inspections by state and federal agencies, consultants, or radiology providers. File includes audit reports, review evaluations, proof of corrective actions taken, and program content and implementation records. File also includes radiation inspection reports completed by the N.C. Department of Environment and Natural Resources, Division of Radiation Protection.	Destroy in office after 3 years and when released from all audits, whichever occurs later.	
13.	RADIOLOGICAL FILM SIGN-OUT FILE Records concerning the release of radiological films by a facility for review by another physician. Sign-out records list patient's name, type of film being released, where records were sent, date released, signature of person receiving exams, and other related information.	Destroy in office after 6 years.	
14.	RADIOACTIVE MATERIALS RECEIPT AND DISPOSAL FILE Records and reports concerning the receipt, return, and disposal of radioactive materials. Records list date received and returned, condition of packages, wipe test results, trigger levels, dose rates, names of individuals performing inspections, and other related information.	Destroy in office after 3 years and when released from all audits, whichever occurs later.	
15.	THERAPEUTIC RADIATION RECORDS Records documenting a patient's treatment. File includes patient treatment records, dosimetry records, simulation films, treatment summary notes and other related information.	Follow disposition instructions for ADULT RECORDS FILE and PEDIATRIC RECORDS FILE , in Standard-9, Program Operational Records: Clinical Records .	

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ITEM #	STANDARD-13: PROGRAM OPERATIONAL RECORDS: NUCLEAR MEDICINE, RADIATION THERAPY, AND RADIOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	ULTRASOUND SERVICES FILE Ultrasound diagnostic tests. File may include films and electronic images produced during the test.	a) Transfer original reports to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records). b) Destroy in office film and electronic records concerning pediatric patients when patient reaches 21 years of age, if patient has not received services within the past 10 years and if no claim, audit, or other official action involving the records has been initiated.* c) Destroy in office records film and electronic records concerning adult patients 5 years from date of last service if no claim, audit, or other official action involving the records has been initiated.*	
17.	WIPE TEST RECORDS Area surveys, wipe test results, lists of actions taken and comments, and other related records.	Destroy in office after 3 years and when released from all audits, whichever occurs later.	
18.	X-RAY FILMS (DIAGNOSTIC) FILE X-ray films created solely for diagnostic purposes.	Destroy in office when reference value ends.	
19.	X-RAY FILMS (DUPLICATES) FILE Duplicate x-ray films and x-ray reports.	Destroy in office when reference value ends.	

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ITEM #	STANDARD-13: PROGRAM OPERATIONAL RECORDS: NUCLEAR MEDICINE, RADIATION THERAPY, AND RADIOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	X-RAY FILMS X-ray films. File also includes doctors' orders, x-ray reports, and other related records.	a) Transfer original reports to patient's medical file. (See Item 3, Adult Records (Inpatient and Outpatient) File , and Item 10, Pediatric Records (Inpatient and Outpatient) File , in Standard-9, Program Operational Records: Clinical Records). b) Destroy in office film and electronic records concerning pediatric patients when patient reaches 21 years of age, if patient has not received services within the past 10 years and if no claim, audit, or other official action involving the records has been initiated.* c) Destroy in office film and electronic records concerning adult patients 5 years from date of last service if no claim, audit, or other official action involving the records has been initiated.*	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals). 55

STANDARD-14. PROGRAM OPERATIONAL RECORDS: NURSING SERVICES RECORDS**Records maintained at nurses' duty stations.**

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-14: PROGRAM OPERATIONAL RECORDS: NURSING SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AGENCY NURSE DATA FILE Records concerning contracted temporary nursing services. File includes resumes, applications, orientation records, biographical information, and other related information.	a) Transfer original records to the hospital's personnel office to be incorporated into employee's personnel file if hired and follow disposition instructions outlined in STANDARD-4, PERSONNEL RECORDS . b) Destroy in office records concerning individual not hired 3 years after leaving service.	
2.	CALL-IN REPORTS Records concerning ambulance reports generated when the ambulance is used to transport a patient. File includes copies of ambulance run reports.	Destroy in office after 1 year.	
3.	DAILY STAFFING RECORDS Records and assignment sheets concerning nurse's floor assignments. File includes nurse's name and number of patients seen.	Destroy in office after 5 years if no claim, audit, or other official action involving the records has been initiated.*	
4.	EDUCATION SIGN-IN SHEETS FILE AND IN-SERVICE RECORDS Records regarding attendance at in-house continuing education and related documentation.	Destroy in office after 3 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, **STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS**, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-14: PROGRAM OPERATIONAL RECORDS: NURSING SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	EMERGENCY DEPARTMENT LOG Records concerning individuals receiving services in the emergency department.	Destroy in office after 5 years if no claim, audit, or other official action involving the records has been initiated.*	
6.	EMERGENCY EQUIPMENT CHECKLISTS Checklist regarding equipment reliability on the code cart, which is used for cardiac arrests.	Destroy in office after 5 years if no claim, audit, or other official action involving the records has been initiated.*	
7.	FLOAT ROSTERS Lists of nurses sent to other units within the hospital. File includes nurse's name, unit sent to, hours worked, and time sent.	Destroy in office when reference value ends.	
8.	FLOOR CENSUS RECORDS Records used to track room usage. File includes number of patients per bed and number of rooms available. File also includes patient's name, doctor(s), and diagnosis.	Destroy in office after 1 years.	
9.	NURSING STAFF MEETING MINUTES Minutes of all committee meetings including Council of Nursing and supporting records.	Destroy in office after 3 years.	
10.	OBSERVATION LOGS Records concerning observation of patient in the hospital less than 24 hours.	Destroy in office after 5 years if no claim, audit, or other official action involving the records has been initiated.*	
11.	PATIENT CARE LOGS Record of all patients receiving same-day surgery services. File includes same-day surgery logs, Intensive Care Unit (ICU) logs, post anesthesia care logs, patient observation logs, and other related records.	Destroy in office after 5 years if no claim, audit, or other official action involving the records has been initiated.*	
12.	PRIVATE DUTY CALL LISTS Lists patient sitters used but not hired by the hospital.	Destroy in office when reference value ends.	
13.	PRODUCTIVITY REPORTS Productivity reports showing hours spent on and off task, total hours worked, vacation time taken, overtime, etc. File is used to determine shift scheduling needs.	Destroy in office after 1 year.	

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STANDARD-15. PROGRAM OPERATIONAL RECORDS: OPERATING DEPARTMENT RECORDS**Records concerning operating department activities.**

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-15: PROGRAM OPERATIONAL RECORDS: OPERATING DEPARTMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	CENTRAL STERILE SUPPLY RECORDS: BIOLOGICAL MONITOR NOTEBOOKS Monitoring strips generated regarding the proper functioning of the autoclave equipment.	Destroy in office after 5 years if no claim, audit, or other official action involving the records has been initiated.*	
2.	CENTRAL STERILE SUPPLY RECORDS: BOUIE DICK TEST Results of daily checks for sterilization effectiveness.	Retain in office permanently.	
3.	CENTRAL STERILE SUPPLY RECORDS: MATERIAL SAFETY DATA SHEETS (MSDS) Records documenting safety hazards found in materials used in the operating department.	Retain in office permanently.	
4.	CENTRAL STERILE SUPPLY RECORDS: PRINTOUT LOGS FOR GAS STERILIZER Logs documenting use of gas sterilization equipment.	Destroy in office after 5 years if no claim, audit, or other official action involving the records has been initiated.*	
5.	CENTRAL STERILE SUPPLY RECORDS: STEAM STERILIZER LOG Logs documenting use of steam sterilization equipment.	Destroy in office upon final disposition of equipment.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-15: PROGRAM OPERATIONAL RECORDS: OPERATING DEPARTMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	CENTRAL STERILE SUPPLY RECORDS: STERILIZER LOAD CARDS Cards or other records documenting function of sterilization equipment.	Destroy in office upon final disposition of equipment.	
7.	CLINICAL RECORDS (OPERATING DEPARTMENT COPY) Copies of patients' clinical records.	Destroy in office after 7 years or when reference value ends, whichever occurs first.	
8.	OPERATING ROOM LEGEND DEVICES FILE Lists summarizing disposable or implanted devices that are imperfect.	Destroy in office upon final disposition of device.	
9.	OPERATING ROOM LOGS Logs listing patients who have had procedures performed in the operating room.	Destroy in office after 5 years if no claim, audit, or other official action involving the records has been initiated.*	
10.	PREFERENCE FOR PHYSICIAN CARDS Cards or other records listing physicians' preferences for certain types of cases.	Destroy in office when superseded or obsolete.	
11.	TEMPERATURE AND HUMIDITY FILE Results of periodic checks of operating rooms for temperature and humidity.	Destroy in office after 1 year.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-16. PROGRAM OPERATIONAL RECORDS: PHARMACY RECORDS

Records concerning operations of public hospital pharmacies. (See 21 North Carolina Administrative Code 46, Board of Pharmacy - Rules and Regulations Sections .0100 through .3000 for further information regarding the disposition of records.)

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-16: PROGRAM OPERATIONAL RECORDS: PHARMACY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADVERSE DRUG REACTION REPORTS Reports to the Food and Drug Administration (FDA) describing adverse drug reactions.	Destroy in office after 3 years.	
2.	BIANNUAL INVENTORY OF CONTROLLED SUBSTANCES Inventories of controlled substances.	Destroy in office after 3 years if no claim, audit, or other official action involving the records has been initiated.*	
3.	CONTINUING EDUCATION FILE Records documenting a practicing pharmacist's hours of continuing education completed. File includes all records and reports of accredited hours and certificates of credit.	Destroy in office after 3 years.	
4.	DRUG DISTRIBUTION RECORDS Records listing who filled and/or checked a medication at time of issuing or dispensing and other related information.	Transfer to appropriate clinical record after 1 year.	
5.	DRUG DESTRUCTION RECORDS Inventories of drugs destroyed, their amounts, and when destroyed.	Destroy in office after 3 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-16: PROGRAM OPERATIONAL RECORDS: PHARMACY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	DRUG DISPOSAL RECORDS FILE Records documenting the disposal or final disposition of all out-dated, improperly labeled, adulterated, damaged, or unwanted controlled and non-controlled substances, or drug containers with worn, illegible, or missing labels. (See G.S. §90-85.6; 90-85.21)	a) Non-controlled substances may be disposed of by returning them to the manufacturer, by incineration at the properly permitted facility, or by any other means approved by the Board of Pharmacy. b) Controlled substances may only be disposed of after written request has been approved by the Board of Pharmacy. Copies of destruction documents must be sent to the Drug Enforcement Administration. c) All records documenting the disposal of unwanted controlled and non-controlled substances may be destroyed in office after 3 years.	
7.	DRUGS INVENTORIES Inventories of controlled and non-controlled substances. File includes inventory reports, ancillary drug cabinet inventories, biannual and annual inventories, perpetual inventories, and similar records used to account for medication compounding and dispensing by pharmacies and locations outside the pharmacy.	Destroy in office after 3 years if no claim, audit, or other official action involving the records has been initiated.*	
8.	INSURANCE CLAIM RECORDS Insurance claim forms (including Medicaid), confirmation or denial reports, remittance and status reports, and similar records submitted by pharmacies for reimbursement.	a) Destroy non-Medicaid related records in office after 3 years and when released from all audits, whichever occurs later. b) Destroy Medicaid related records in office after 5 years and when released from all audits, whichever occurs later.	
9.	INTRAVENOUS HOOD PERFORMANCE REPORTS Records of the tests conducted on intravenous hood to ensure a sterile environment.	Destroy in office after 3 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-16: PROGRAM OPERATIONAL RECORDS: PHARMACY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	MEDICATION ERRORS FILE Records documenting the administration of an incorrect medication or dose. File includes pertinent chronological information, appropriate health care facility forms, and investigative reports including the identity of individual(s) responsible.	Destroy in office after 3 years if no claim, audit, or other official action involving the records has been initiated.*	
11.	MEDICATION STORAGE INSPECTION REPORTS Results of medication storage areas inspected on a routine basis including the removal of expired or expiring medication.	Destroy in office after 3 years.	
12.	PATIENT MEDICATION PROFILE Lists of all prescribed medications for each patient.	Destroy in office after 3 years if no claim, audit, or other official action involving the records has been initiated.*	
13.	PHARMACEUTICAL CARE ASSESSMENT FILE Records involving the interpretation and evaluation of a patient's drug therapy or other pharmaceutical care services. File includes on site drug and medication reviews and similar records.	Destroy in office after 3 years if no claim, audit, or other official action involving the records has been initiated.*	
14.	PRESCRIPTION ORDERS Prescription orders for controlled and non-controlled substances or other medication or a device for each patient. File includes patient's name, location, medical records number, medication name, strength, dosage form, date order was written, and signature of prescriber.	Destroy in office after 3 years if no claim, audit, or other official action involving the records has been initiated.*	
15.	RECORDS OF EMERGENCY DEPARTMENT DISPENSING Inventories of drugs dispensed in the Emergency Department.	Destroy in office after 3 years.	
16.	RECORDS OF PRE-PACKAGED DRUGS Inventories of pre-packaged drugs received in the pharmacy.	Destroy in office after 3 years.	
17.	SCHEDULE II INVOICE AND RECEIVING FILE Ordering and receiving records for schedule II controlled substances.	Destroy in office after 3 years and when released from all audits, whichever occurs later.	See G.S. §90-90.

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

<i>ITEM #</i>	<i>STANDARD-16: PROGRAM OPERATIONAL RECORDS: PHARMACY RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
18.	SCHEDULE II, III, IV, AND V NARCOTICS USAGE FILE Records documenting the use of schedule II, III, IV, and V controlled substances.	Destroy in office after 3 years if no claim, audit, or other official action involving the records has been initiated.*	See G.S. §90-90 through 93. Comply with applicable provisions of G.S. §90-85.36(c) regarding confidentiality of records kept in accordance with G.S. §90-93(d).
19.	YEARLY DRUG INVENTORY Annual inventories of all drugs in the pharmacy.	Destroy in office after 3 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-17. PROGRAM OPERATIONAL RECORDS: PHYSICAL, OCCUPATIONAL, RESPIRATORY, AND SPEECH/LANGUAGE THERAPY RECORDS

Records concerning physical, occupational, respiratory, and speech/language therapy programs.

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-17: PROGRAM OPERATIONAL RECORDS: PHYSICAL, OCCUPATIONAL, RESPIRATORY, AND SPEECH/LANGUAGE THERAPY		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	CHARGE SLIPS Records listing type, number, date, and cost of treatment; time spent with each patient; and other related information. This record is used as a data collection/input record.	Destroy in office 1 year from date of last service.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-17: PROGRAM OPERATIONAL RECORDS: PHYSICAL, OCCUPATIONAL, RESPIRATORY, AND SPEECH/LANGUAGE THERAPY		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	PATIENT RECORDS (INPATIENT AND OUTPATIENT) FILE Records concerning physical, respiratory, occupational, and/or speech/language therapy services provided to patients by skilled staff. File includes registration records, evaluation and attendance forms, doctors' orders, questionnaires and outcome assessment forms, therapy notes, treatment records, progress notes, and other related records.	a) Destroy in office records concerning pediatric patients when patient reaches 30 years of age in accordance with 10 NCAC 3C.3903(b) if patient has not received services within the past 10 years and if no claim, audit, or other official action involving the records has been initiated.* b) Destroy in office records concerning adult patients 11 years from date of last service in accordance with 10 NCAC 3C.3903(a) if no claim, audit, or other official action involving the records has been initiated.* c) Prior to destruction, public notice shall be made to permit former patients or their representatives to claim their own records in accordance with NCAC 3C.3903(d). Public notice shall be in at least two forms: written notice to the former patients or their representative and display of an advertisement in a newspaper of general circulation in the area of the facility.	
3.	STATISTICAL REPORTS FILE Reports listing number of modalities and visits per reporting period.	a) Retain in office 1 copy of each biennial and annual report permanently. b) Destroy in office remaining reports when reference value ends.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-18. PROGRAM OPERATIONAL RECORDS: PSYCHIATRIC RECORDS**Records concerning psychiatric patient care at public hospitals.**

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-18: PROGRAM OPERATIONAL RECORDS: PSYCHIATRIC RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	CLINICAL DISCHARGE SUMMARIES Summaries of psychiatric patient discharges.	a) Destroy in office records for adult psychiatric patients 11 years after date of last service in accordance with 10 NCAC 3C.3903(a) if no claim, audit, or other official action involving the records has been initiated.* b) Destroy in office records for pediatric patients when patient reaches 30 years of age in accordance with 10 NCAC 3C.3903(b) if patient has not received services within the past 10 years and if no claim, audit, or other official action involving the records has been initiated.*	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-18: PROGRAM OPERATIONAL RECORDS: PSYCHIATRIC RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	PATIENT CASE RECORDS FILE. Records concerning psychiatric patients served by the public hospital.	<ol style="list-style-type: none"> 1. Destroy in office records for adult psychiatric patients 11 years after date of last service in accordance with 10 NCAC 3C.3903(a) if no claim, audit, or other official action involving the records has been initiated.* 2. Destroy in office records for pediatric patients when patient reaches 30 years of age in accordance with 10 NCAC 3C.3903(b) if patient has not received services within the past 10 years and if no claim, audit, or other official action involving the records has been initiated.* 3. Destroy in office records for deceased patients 10 years after date of last service. 4. Prior to destruction, public notice shall be made to permit former patients or their representatives to claim their own records in accordance with NCAC 3C.3903(d). Public notice shall be in at least two forms: written notice to the former patients or their representative and display of an advertisement in a newspaper of general circulation in the area of the facility. 	
3.	PSYCHIATRIC TEST ANSWER SHEETS FILE Patients' answer sheets for psychiatric tests.	Destroy in office after 6 years.	
4.	RECORDS OF PATIENTS DECLARED LEGALLY INCOMPETENT FILE Records of patients declared legally incompetent.	Destroy in office 11 years from date of last service in accordance with 10 NCAC 3C.3903(a) if no claim, audit, or other official action involving the records has been initiated.*	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-19. PROGRAM OPERATIONAL RECORDS: REGISTERS**Registers maintained in various departments at the public hospital.**

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-19: PROGRAM OPERATIONAL RECORDS: REGISTERS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AMBULATORY REGISTERS Ambulatory services registers listing patients' names, date and time of arrival or treatment, physicians' names, medical records numbers, procedures performed, and other related information.	Destroy in office after 10 years if no claim, audit, or other official action involving the records has been initiated.*	
2.	EMERGENCY ROOM REGISTERS Emergency room registers listing patients' names, date and time of arrival or treatment, physicians' names, medical records numbers, procedures performed, and other related information.	Destroy in office after 10 years if no claim, audit, or other official action involving the records has been initiated.*	
3.	NUMBER CONTROL REGISTERS Number control register listing number assigned to a patient's medical records when they are admitted to the public hospital.	Destroy in office after 10 years.	
4.	OBSTETRICS REGISTERS Obstetrics registers listing patients' names, date and time of arrival or treatment, physicians' names, medical records numbers, procedures performed, and other related information.	Destroy in office after 10 years if no claim, audit, or other official action involving the records has been initiated.*	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

<i>ITEM #</i>	<i>STANDARD-19: PROGRAM OPERATIONAL RECORDS: REGISTERS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
5.	OPERATIVE REGISTERS Operative registers listing patients' names, date and time of arrival or treatment, physicians' names, medical records numbers, procedures performed, and other related information.	Retain in office permanently.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, *STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS*, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-20. PROGRAM OPERATIONAL RECORDS: SOCIAL SERVICES AND ACUTE CARE RECORDS**Records concerning social service and acute care programs at public hospitals.**

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-20: PROGRAM OPERATIONAL RECORDS: SOCIAL SERVICES AND ACUTE CARE RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	APPROVAL FOR NURSING HOME PLACEMENT (FL-2) FILE Completed forms approving patients' placement in nursing homes.	Destroy in office after 3 years.	
2.	MONTHLY HOME HEALTH REPORTS Monthly reports listing home health activities overseen by the public hospital. File includes in-home services follow-up forms and similar records.	Destroy in office after 3 years and when released from all audits, whichever occurs later.	
3.	PATIENT CONFERENCE RECORDS Summaries of conferences with patients. File includes progress notes, discharge planning records, crisis consulting records, abuse-neglect reports, involuntary commitment reports, patient assessments, and similar records.	a) Transfer original records to appropriate clinical record following conference. b) Destroy in office copies after 2 years.	
4.	PATIENT TRACKING RECORDS Records used to track patients receiving care through a hospital's social service program. File includes patient's name and address, room number, consultation date, placement information, and similar records.	Destroy in office after 3 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-20: PROGRAM OPERATIONAL RECORDS: SOCIAL SERVICES AND ACUTE CARE RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	REFERRAL TO COUNTY DEPARTMENT OF SOCIAL SERVICES (PA-400) Completed forms used as referrals to county departments of social services for patients who may be eligible for Medicare.	Destroy in office after 4 years.	
6.	REFERRAL WORKSHEET FOR DISCHARGE PLANNING Completed forms detailing the recovery regiment that a patient should follow once discharged.	Destroy in office after 3 years.	
7.	SOCIAL WORK REPORTS Performance improvement, statistical, outcome of service plan, qualitative data, tracking, and similar report.	a) Retain in office 1 copy of biennial and annual reports permanently. b) Destroy in office all other reports after 3 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-21. PROGRAM OPERATIONAL RECORDS: UTILIZATION REVIEW RECORDS

Committee records regarding the utilization of hospital staff, programs, and resources.

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-21: PROGRAM OPERATIONAL RECORDS: UTILIZATION REVIEW RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADMISSION LOGS Logs listing all admissions into the public hospital.	Destroy in office after 3 years.	
2.	AUDIT REPORTS Reports summarizing findings of audits of public hospital operations.	a) Retain in office permanently 1 copy of each audit report. b) Destroy in office remaining copies when administrative value ends.	
3.	BLOOD/TISSUE UTILIZATION COMMITTEE MINUTES Review of blood and tissue usage.	Retain in office permanently.	
4.	COMPLIANCE COMMITTEE MINUTES Records concerning Medicare and Medicaid compliance.	Retain in office permanently.	
5.	CREDENTIALING COMMITTEE MINUTES Records concerning the credentialing process for doctors becoming members of the medical staff.	Retain in office permanently.	
6.	DAILY MEDICARE AND MEDICAID LOGS Record of money paid to provider by Medicaid or Medicare.	Destroy in office after 5 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-21: PROGRAM OPERATIONAL RECORDS: UTILIZATION REVIEW RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	EXECUTIVE COMMITTEE OF MEDICAL STAFF MINUTES Records of committee handling problems on the medical staff.	Retain in office permanently.	
8.	FINANCIAL CLASSIFICATION LOGS Logs listing financial classifications applicable to patients.	Destroy in office when superseded or obsolete.	
9.	PATIENT ABSTRACT RECORDS Abstracts of codes used to track both patient billing and types of diseases diagnosed, and are used to report this information to insurance companies.	Destroy in office after 1 year.	
10.	MATERNAL AND CHILD HEALTH COMMITTEE MINUTES Records regarding birthing methods in public hospital's birthing centers.	Retain in office permanently.	
11.	PRIVATE PAID DISCHARGES FILE Record used to track those patients who pay their bill without insurance or Medicare.	Destroy in office after 3 years.	
12.	TRANSFER AND DISCHARGE LISTS Lists summarizing transfers and discharges of patients.	Destroy in office after 1 year.	
13.	UTILIZATION COMMITTEE MEETING MINUTES Minutes of meetings of the public hospital's utilization committee.	Retain in office permanently.	
14.	UTILIZATION REVIEW PLANS Plans for utilization review.	Destroy in office when superseded or obsolete.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-22. PROGRAM OPERATION RECORDS: VITAL RECORDS**Birth and death records created by the public hospital.**

In accordance with **G.S. §131E-97**, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in **G.S. §132-6**. This exemption includes financial records concerning charges, accounts, credit histories, and other personal financial records. Similarly, this statute exempts records acquired in connection with the credentialing and peer review of persons having or applying for privileges to practice in the hospital, and records concerning competitive health care activities by or on behalf of the hospital, from public inspection. Custodians also should be familiar with Title 10 North Carolina Administrative Code (NCAC) 3C.3902 and 3903, which outline responsibilities of medical records managers, and **G.S. §8-53** (confidentiality of communications between physicians and their patients).

ITEM #	STANDARD-22: PROGRAM OPERATION RECORDS: VITAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	BIRTH RECORDS BIRTH REGISTER Registers listing all births at the public hospital.	Retain in office permanently.	
2.	BIRTH RECORDS: LOG OF DELIVERY ROOM ACTIVITIES Logs listing delivery room activities.	Retain in office permanently.	
3.	DEATH REGISTERS Registers listing names of decedents, date of death, and other related information.	Retain in office permanently.	(G. S. §130A-117)

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-23. PUBLIC RELATIONS RECORDS

Official records and materials created and accumulated by internal public information programs operated by public hospital officials.

ITEM #	STANDARD-23: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADVERTISEMENTS	a) Destroy the advertisements in office 3 years after expiration.* b) Destroy in office billing information and other fiscal records when released from all audits. c) Transfer items with obvious historical value to Histories File (Standard-1, item 33) when reference value ends. d) Destroy remaining records in office when reference value ends, but within 5 years.	
2.	AGENCY PUBLICATIONS	a) Retain 1 copy in office permanently in the Histories File (Standard-1, item 33). b) Destroy remaining copies in office when administrative value ends.	G.S. §125-11.8
3.	AUDIO TAPES (PUBLIC RELATIONS)	a) Transfer items with obvious historical value to Histories File (Standard-1, item 33) when administrative value ends. b) Destroy remaining records in office when administrative value ends.	
4.	BIOGRAPHICAL DATA	a) Transfer items with obvious historical value to Histories File (Standard-1, item 33) when reference value ends. b) Destroy in office remaining records when reference value ends.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-23: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	CORRESPONDENCE/MEMORANDA (PUBLIC RELATIONS)	Destroy in office after 3 years.	
6.	FILMS FILE	a) Transfer items with obvious historical value to Histories File (Standard-1, item 33) when reference value ends. b) Destroy in office remaining films when administrative value ends.	
7.	HEALTH EDUCATION LITERATURE FILE	Destroy in office when reference value ends.	
8.	HOMEPAGE (ELECTRONIC) FILE Electronic records concerning the administration and maintenance of the agency's website. (Electronic files may be maintained by a network administrator or information systems office.)	a) Erase/destroy in office when superseded or obsolete. b) Transfer items with obvious historical value to the Histories File (Standard-1, item 33). Can be maintained in electronic or paper form.	
9.	MAILING LISTS	Destroy in office when superseded or obsolete.	
10.	NEWS CLIPPINGS	a) Transfer items with obvious historical value to Histories File (Standard-1, item 33) when reference value ends. b) Destroy in office remaining items when reference value ends.	
11.	NEWS AND PRESS RELEASES	a) Transfer items with obvious historical value to Histories File (Standard-1, item 33) when reference value ends. b) Destroy in office remaining items when administrative value ends.	
12.	PHOTOGRAPHS	a) Transfer items with obvious historical value to Histories File (Standard-1, item 33) when reference value ends. b) Destroy in office remaining items when administrative value ends.	
13.	PUBLIC RELATIONS FILE Records concerning overall public relations of county administrative offices. File includes procedures, correspondence, and other related records.	Destroy in office after 5 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-23: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	SLIDES	a) Transfer items with obvious historical value to Histories File (Standard-1, item 33) when reference value ends. b) Destroy in office remaining items when administrative value ends.	
15.	SPEECHES	a) Transfer items with obvious historical value to Histories File (Standard-1, item 33) when reference value ends. b) Destroy in office remaining items when administrative value ends.	
16.	VIDEO TAPES (PUBLIC RELATIONS)	a) Transfer items with obvious historical value to Histories File (Standard-1, item 33) when reference value ends. b) Destroy in office remaining items when administrative value ends.	
17.	VISUAL AIDS	Destroy in office when administrative value ends.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

STANDARD-24. RISK MANAGEMENT RECORDS

Official records created and accumulated for use by the public hospital regarding risk management.

ITEM #	STANDARD-24: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)	a) Transfer records resulting in workers' compensation to Workers' Compensation Litigation and Claims File. b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.* c) Destroy in office non-employee accident reports 3 years after settlement or denial of claim.* d) Destroy in office reports that do not result in claims or official action after 3 years.	See also item 60, Workers' Compensation Program Claims File in Standard-4, Personnel Records. See also item 17, Workers' Compensation Litigation File in Standard-3, Legal Records, if report results in legal action.
2.	ASBESTOS MANAGEMENT PLAN	Retain in office for life of structure, or 10 years after asbestos is removed from the structure.*	
3.	BLOODBORNE PATHOGEN TRAINING RECORDS Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualification of instructors.	Destroy in office after 3 years.	29 CFR 1910.1030(h)(2)(ii).
4.	CLAIM COST REPORTS AND/OR STATEMENTS	Destroy in office after 3 years.*	
5.	FIRE AND SAFETY FILE	Destroy in office when superseded or obsolete.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

ITEM #	STANDARD-24: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	FUEL OIL STORAGE TANK RECORDS	a) Destroy in office closure records 3 years after completion of permanent closure in accordance with G.S. §280.32 and 280.72. b) Destroy in office performance claims and tank tightness tests completed every 5 th year after 5 years. c) Destroy in office maintenance reports, repair and upgrade reports, product inventory measuring charts, tank tightness tests completed on a yearly schedule, and all other tests and related records after 1 year.	G.S. §280.32 and 280.72.
7.	HAZARDOUS MATERIALS TRAINING RECORDS Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors.	Destroy in office after 5 years.	
8.	HOLD HARMLESS AGREEMENTS	Destroy in office 6 years from date of termination or settlement of all claims, whichever occurs first.	
9.	INSURANCE AUDITS, SURVEYS AND REPORTS	Destroy in office when administrative value ends or after 4 years, whichever occurs first.	
10.	INSURANCE WAIVERS	Destroy in office 6 years from date of termination or settlement of all claims, whichever occurs first.*	
11.	LOSS CONTROL INSPECTION REPORTS Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.	Destroy in office after 1 year.	
12.	MATERIAL SAFETY DATA SHEETS Forms supplied to local government agencies from manufacturers and distributors of hazardous materials.	Update annually, and destroy when the materials have been disposed of according to manufacture instructions.	29 CFR 1910.1200 and 29 CFR 1910.22E
13.	NOTIFICATION OF PENALTY ASSESSMENT FILE	Destroy in office after 6 years.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

<i>ITEM #</i>	<i>STANDARD-24: RISK MANAGEMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
14.	OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) FILE Records of injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms 101 and 200.	Destroy in office after 5 years.	
15.	SELF-INSURER CERTIFICATION FILE	Destroy in office 6 years from date of termination or settlement of all claims, whichever occurs first.	
16.	U.S. BUREAU OF LABOR STATISTICS AND SUMMARY FILE	Destroy in office when administrative value ends.	

* Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see litigation case file, STANDARD-1. ADMINISTRATIVE AND MANAGEMENT RECORDS, item 37. Even though the retention period for any patient clinical record may have been met as described herein, if a notice of claim or lawsuit has been made, all patient clinical records pertaining to the case shall be retained until final disposition of the claim or litigation (including appeals).

**North Carolina Department of Cultural Resources
Division of Historical Resources
Government Records Branch
PUBLIC RECORDS SERIES LISTING**

PURPOSE: This form is used to request establishment of or change in an existing records retention and disposition schedule for a public record series as required by G.S. 121 and 132. Based on the information you supply, an appraisal of the records will be made and a draft retention schedule prepared for your agency's review. The approved schedule will be your agency's legal authorization to destroy and transfer public records.

INSTRUCTIONS:

1. Complete a separate copy of this form for each individual records series.
2. To complete this form please type or print clearly.
3. Complete every section of this form for each records series.
4. Send to State Records Center (215 N. Blount Street) via interoffice mail, state courier service (#51-81-20), or USPS to 215 N. Blount Street, Raleigh, NC 27601-2807, or FAX to 919-715-3627
5. Questions? Need help? Phone (919) 733-3540. Ask for your Records Analyst.

1. **Department:** _____

2. **Division:** _____

3. **Section:** _____

4. **Branch:** _____

5. **Unit:** _____

6. **Changes Requested to Item Number:** _____
☐ **Title** ☐ **Description** ☐ **Disposition instructions**
☐ **Delete item.**
 ☐ No records in this series exist.
 ☐ Records have been transferred to _____

7. ☐ **Add new item**

8. **Proposed title:** _____

9. **Medium of the records:**

ORIGINAL REFERENCE

<input type="checkbox"/>	<input type="checkbox"/>	These are paper records.
<input type="checkbox"/>	<input type="checkbox"/>	These are electronic records.
<input type="checkbox"/>	<input type="checkbox"/>	These records are <input type="checkbox"/> microfilm <input type="checkbox"/> microfiche.

NO YES

<input type="checkbox"/>	<input type="checkbox"/>	10. Records contain confidential information. If yes, list the statutory or regulatory provision: _____
<input type="checkbox"/>	<input type="checkbox"/>	11. Record series is <input type="checkbox"/> input to <input type="checkbox"/> output from a computer file. If yes, is that computer file listed on this office's Records Retention Schedule? Item _____. If no, complete a separate Public Series Listing form for that computer file.
<input type="checkbox"/>	<input type="checkbox"/>	12. Record series is subject to <input type="checkbox"/> State <input type="checkbox"/> Federal audit.
<input type="checkbox"/>	<input type="checkbox"/>	13. Record series is a vital record. Explain. _____

Description, purpose, and use of record series:

14. What are these records about? What function or activity do records concern?

15. List some of the specific types of records (correspondence, publications, maps, job applications) included in this series.

16. What specific information is input to computer file?

17. **Proposed retention period for record series:**

<input type="checkbox"/>	Destroy in office	<input type="checkbox"/> after ____ years.
<input type="checkbox"/>	Destroy in office when	<input type="checkbox"/> administrative or <input type="checkbox"/> reference value ends. <input type="checkbox"/> when superseded or obsolete.
<input type="checkbox"/>	Retain in office permanently.	
<input type="checkbox"/>	<input type="checkbox"/> Microfilm <input type="checkbox"/> scan records.	Original records will be <input type="checkbox"/> retained <input type="checkbox"/> destroyed after quality control procedures are completed.
<input type="checkbox"/>	Other:	_____

18. **Your name and title:** _____

19. **Phone:** _____

20. **Date:** _____

21. **Your address:** _____

**NORTH CAROLINA DEPARTMENT OF CULTURAL RESOURCES
DIVISION OF HISTORICAL RESOURCES, GOVERNMENT RECORDS BRANCH**

REQUEST FOR CHANGE IN RECORDS SCHEDULE

INSTRUCTIONS: Use this form to request a change in the records retention and disposition schedule governing the records of your agency. Prepare in duplicate for each change desired. Send signed original to the Assistant Records Administrator, Government Records Branch, 4615 Mail Service Center, Raleigh, NC 27699-4615. Keep copy for your file. A proposed amendment will be prepared and submitted to the appropriate state and local officials for their approval and signature. On approval, the signed copies of the amendment will be furnished to all parties for insertion in their copy of the schedule.

CHANGE REQUESTED (Check one)

☐ Add new item ☐ Delete existing item ☐ Change retention period

NAME OF COUNTY AND AGENCY

TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

SCHEDULE REFERENCE (If any)

Standard Number____ Page____ Item Number____ None_ ____

INCLUSIVE DATES OF RECORDS VOLUME OF RECORDS IN LINEAR INCHES

DESCRIPTION OF RECORDS

PROPOSED RETENTION PERIOD

NAME, TITLE, AND SIGNATURE OF REQUESTER TELEPHONE NUMBER DATE

**North Carolina Department of Cultural Resources
Division of Historical Resources
Government Records Branch
REQUEST AND APPROVAL OF UNSCHEDULED RECORDS DISPOSAL**

Date: _____

TO: Assistant Records Administrator
N.C. Division of Historical Resources
Government Records Branch
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM: _____

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of records listed below.

These records have no further use or value for official or administrative purposes.

RECORDS TITLE	DESCRIPTION	INCLUSIVE DATES	QUANTITY	MICROFILMED? (YES OR NO)	RETENTION PERIOD

Requested by: _____, _____, _____
Signature Title

Date

Approved by: _____, _____, _____
Signature Mayor/Head of Governing Board

Date

Concurred by (except as indicated):

_____, Assistant Records Administrator

N.C. Division of Archives and History Date

REQUEST FOR DISPOSAL OF ELECTRONIC DATA PROCESSING PUBLIC RECORDS

Date: _____

To: Assistant Records Administrator
Government Records Branch
4615 Mail Service Center
Raleigh, NC 27699-4615

From:

Subject: Request for approval to dispose of electronic data processing public records and applicable documentation.

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of the records listed below. These records have no further use or value for official or administrative purposes.

Type or Print Legibly-Need Help: Call (919) 733-3540-Ask for Local Records Analyst

Title and Description of Records	Inclusive Dates	Number of Tapes Disks	Master (M) or Processing (P) Files		Present Retention Period
			M	P	

Requester's Signature and Telephone	Title	Date
-------------------------------------	-------	------

Signature of approving Agency Official	Title	Date
--	-------	------

For Department of Cultural Resources Use only

☐

Concur

☐

Do Not Concur, Explanation Attached

Name and Signature	Title	Date
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N.C. Division of Archives and History

INDEX

A

ABOLISHED POSITION FILE, 14
ABSTRACTING REPORTS, 36
ACCREDITATION FILE, 24
ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE), 78
ACCOUNTS PAYABLE, 7
ACCOUNTS RECEIVABLE, 7
ACCOUNTS UNCOLLECTABLE, 7
ADDRESS FILE, 14
ADJUSTED PATIENT ACCOUNTS, 29
ADMINISTRATION AND MANAGEMENT RECORDS, 1
ADMINISTRATIVE DIRECTIVES, POLICIES, PROCEDURES, REGULATIONS, RULES, 1
ADMISSION LOGS FILE, 72
ADMISSION/DISCHARGE/TRANSFER REPORTS, 36
ADULT RECORDS (INPATIENT AND OUTPATIENT), 37
ADVANTAGES, MICROFILM. *See* MICROFILM, ADVANTAGES
ADVERSE DRUG REACTION REPORTS FILE, 60
ADVERTISEMENTS, 75
AFFIRMATIVE ACTION, 14
AFFIRMATIVE ACTION PLANS, 14
AGENCY NURSE DATA FILE, 56
AGENCY PUBLICATIONS, 75
AGENDA FILE, 1
AGENDA PACKETS, 1
ALL PROGRAM RECORDS, 24
AMBULANCE SERVICE BILLS AND RECORDS FOR EMERGENCY MEDICAL SERVICES, 7
AMBULATORY REGISTERS FILE, 68
AMULATORY INDEX, 43
ANNUAL BUDGET, 7
APPLICATIONS, RESUMES AND INTERVIEW, 14
APPOINTMENT LOGBOOKS FILE, 50
APPROVAL FOR NURSING HOME PLACEMENT (FL-2) FILE, 70
ARTERIAL BLOOD GAS LOGBOOKS, 31
ARTERIAL BLOOD GAS SLIPS, 31
ASBESTOS MANAGEMENT PLAN, 78
ASSISTANCE WITH THE SCHEDULE, iii
ASSOCIATIONS AND COMMITTEES FILE, 1
AUDIO AND SOUND RECORDINGS (MEETINGS), 1
AUDIO TAPES(PUBLIC RELATIONS), 75
AUDIT REPORTS, 7
AUDIT REPORTS FILE, 72
AUTHORIZATION FORMS, 7
AUTHORIZED PROCEDURES, DESTRUCTION OF PUBLIC RECORDS. *See* DESTRUCTION OF PUBLIC RECORDS
AUTOPSY AND SURGICAL PATHOLOGY PARAFFIN BLOCKS, 45

PATHOLOGY REPORTS, 45
PATIENT CHARTS (LABORATORY COPY), 46
SLIDES FILE, 46
WET TISSUE, 46
AUTOPSY AND SURGICAL PATHOLOGY RECORDS, 45

B

BAD DEBT MEDICARE LOGS, 29
BANK STATEMENTS, 7
BIANNUAL INVENTORY OF CONTROLLED SUBSTANCES FILE, 60
BIDS FOR PURCHASE, 7
BIDS FRO DISPOSAL OF PROPERTY, 7
BILLING AND CLAIMS, 7
BIOGRAPHICAL DATA, 75
BIOLOGICAL MONITOR NOTEBOOKS FILE, 58
BIOMEDICAL ENGINEERING RECORDS, 28
BIRTH REGISTER FILE, 74
BLOOD/TISSUE UTILIZATION COMMITTEE MINUTES, 72
BLOODBORNE PATHOGEN TRAINING RECORDS, 78
BLUEPRINTS, 1
BOND PRINCIPAL AND INTEREST DUE, NOTICES OF, 8
BOND REGISTER, 8
BONDS AND COUPONS, COUNTY, 8
BOUIE DICK TEST FILE, 58
BUDGET CORRESPONDENCE, 8
BUDGET ORDINANCES FILE, 8
BUDGET, FISCAL AND PAYROLL RECORDS, 7
BUDGETS, 8
BUILDING MAINTENANCE AND SPACE FILE, 1
BULLETINS, 1
BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS, 29

C

CAFETERIA FILE, 40
CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS, 15
CAFETERIA SURVEY FILE, 40
CALENDARS OF EVENTS, 1
CALL IN REPORTS FILE, 56
CANCELLED CHECKS, 7
CANCER REGISTRY DATABASE (ELECTRONIC FILE), 37
CANCER REGISTRY PROGRAM FILE, 37
CARDIC CATHETER FILE, 50
CARDIOPULMONARY SERVICES PATIENT LOGBOOK, 32
STATISTICAL MONTHLY REPORTS, 32
CARDIOPULMORARY SERVICES RECORDS, 31
CASH RECEIPTS, 8

CENTRAL STERILE SUPPLY RECORDS
 PRINTOUT LOGS FOR GAS STERILIZER, 58
 STEAM STERILIZER LOGS FILE, 58
 STERILIZER LOAD CARDS FILE, 59
 CESIUM BOOK FILE, 50
 CHARGE SLIPS FILE, 64
 CHECK REGISTER FILE, VARIOUS FUNDS, 8
 CHECK STUB, 8
 CITIZENS COMPLAINTS, 1
 CIVIL RIGHTS FILE, 12
 CLAIM COST REPORTS AND/OR
 STATEMENTS, 78
 CLINICAL DISCHARGE SUMMARIES FILE, 66
 CLINICAL LABORATORY RECORDS
 BLOOD BANK RECORDS, 47
 DONORS DEEMED UNSUITABLE FILE, 47
 INSTRUMENT MAINTENANCE RECORDS
 FILE, 47
 LABORATORY REGISTER FILE, 47
 PROFICIENCY TESTING FILE, 48
 QUALITY CONTROL FILE, 48
 REPORTS FILE, 48
 REQUESTS FOR LABORATORY TESTS FILE,
 48
 CLINICAL RECORDS, 36
 CLINICAL RECORDS (OPERATING
 DEPARTMENT COPY) FILE, 59
 COBRA RECORDS, 15
 COMMUNICABLE DISEASE REPORTS, 38
 COMPLAINTS (DISCRIMINATION), 12
 COMPLIANCE COMMITTEE MINUTES, 72
 COMPREHENSIVE EMPLOYMENT AND
 TRAINING ACT (CETA) RECORDS, 15
 CONFERENCES AND WORKSHOPS FILE, 2
 CONSULTATIONS FILE, 24
 CONTINUING EDUCATION FILE, 60
 CONTRACT BUDGET AND EXPENDITURE
 REPORTS, 8
 CONTRACTS, 2
 CONTRACTS/AGREEMENTS FOR
 CONSTRUCTION, EQUIPMENT, AND
 SUPPLIES FILE, 12
 CONTRACTS/AGREEMENTS FOR PURCHASE
 OF SERVICES, SPECIAL PROGRAMS, AND
 PROJECTS FILE, 12
 CORRESPONDENCE (LEGAL), 12
 CORRESPONDENCE LOG, 38
 CORRESPONDENCE/MEMORANDA
 (ADMINISTRATIVE), 2
 CORRESPONDENCE/MEMORANDA
 (PERSONNEL), 15
 CORRESPONDENCE/MEMORANDA (PUBLIC
 RELATIONS), 76

COST OF REPAIRS AND MAINTENANCE FILE,
 28
 COUNTY HOSPITAL
 ALL PROGRAM RECORDS, 24
 BIOMEDICAL ENGINEERING RECORDS, 28
 BUSINESS OFFICE AND PATIENTS'
 FINANCIAL RECORDS, 29
 CARDIOPULMONARY SERVICES RECORDS,
 31
 COURIER SERVICES FILE, 2
 CREDENTIALING COMMITTEE MINUTES, 72
 CREDIT CARD USE FILE, 8
 CUMULATIVE OCCUPATIONAL EXPOSURE
 HISTORY FILE, 51
 CYCLE MENUS
 PATIENT FILE, 40
 PATIENT MENU REQUESTS FILE, 40
 CYTOLOGY RECORDS
 ACCESSION RECORDS FILE, 48
 INSTRUMENT MAINTENANCE RECORDS
 FILE, 48
 REPORTS FILE, 48
 SLIDES (NEGATIVE OR UNSATISFACTORY)
 FILE, 49
 SLIDES (SUSPICIOUS OR POSITIVE) FILE,
 49

D

DAILY CASH REPORTS, 8
 DAILY CHARGE REPORTS, 24
 DAILY DETAIL REPORTS, 8
 DAILY JOURNAL AND LEDGER ENTRY
 UPDATE PRINTOUTS, 9
 DAILY MEDICARE AND MEDICAID LOGS
 FILE, 72
 DAILY STAFFING RECORDS, 56
 DAILY STATISTICAL SHEETS AND LOGS FILE,
 51
 DAILY WORKSHEETS/LOGS/REPORTS FILE, 49
 DATA PROCESSING RECORDS,
 DESTRUCTION. *See* DESTRUCTION OF
 ELECTRONIC RECORDS
 DEATH RECORDS, 74
 DEEDS FILE, 2
 DEEDS, TITLES, 13
 DEFERRED COMPENSATION FILE, 15
 DEPARTMENTAL MINUTES, 38
 DEPOSIT SLIPS, 7
 DEPOSITS, 9
 DESTRUCTION OF ELECTRONIC RECORDS, vi
 DESTRUCTION OF ORIGINAL RECORDS THAT
 HAVE BEEN DUPLICATED, v

DESTRUCTION OF PUBLIC RECORDS, v
 DETAIL REPORT FILE (FINANCIAL RECORDS
 FOR GENERAL FUND OR GENERAL
 LEDGER), 9
 DIETARY REPORTS FILE, 40
 DIRECT DEPOSIT
 APPLICATIONS/AUTHORIZATIONS, 9
 DIRECTIVES, 2
 DISABILITY SALARY CONTINUATION CLAIM,
 16
 DISASTER ASSISTANCE, viii
 DISCHARGE SLIPS FILE, 40
 DISCIPLINARY FILE, 16
 DISEASE (DIAGNOSTIC) INDEX FILE, 43
 DISPOSITION OF RECORDS, NOT
 AUTHORIZED FOR DESTRUCTION, vi
 DISTRICT INVESTMENT RECORDS, 9
 DIVISION OF FACILITY SERVICES RECORDS,
 2
 DONATIONS AND SOLICITATIONS, 2
 DOSES ADMINISTERED FILE, 51
 DRUG AND ALCOHOL PROGRAMS FILE, 16
 DRUG DESTRUCTION RECORDS FILE, 60
 DRUG DISPOSAL RECORDS FILE, 61
 DRUG DISTRIBUTION RECORDS FILE, 60
 DRUGS INVENTORIES FILE, 61
 DUAL EMPLOYMENT FILE, 16
 DUPLICATE RECORDS, DESTRUCTION OF. *See*
 DESTRUCTION OF ORIGINAL RECORDS
 THAT HAVE BEEN DUPLICATED

E

EARLY DISPOSAL OR DISPOSAL OF
 UNSCHEDULED RECORDS, iii
 EASEMENTS, 12
 ECHO REPORTS, 32
 EDUCATION FUNCTION FILE, 41
 EDUCATION SIGN-IN SHEETS FILE AND IN-
 SERVICE RECORDS FILE, 56
 EDUCATIONAL LEAVE AND
 REIMBURSEMENT FILE, 16
 ELECTROCARDIOGRAM (EKG) TESTS, 33
 ELECTROENCEPHALOGRAM (EEG) LAB
 REPORTS, 33
 ELECTRONIC MAIL, xi
 ELECTRONIC RADIOGRAPHIC FILE, 51
 ELECTRONIC RECORDS, iii
 EMERGENCY DEPARTMENT LOG, 57
 EMERGENCY EQUIPMENT CHECKLIST FILE,
 57
 EMERGENCY MANAGEMENT FILE, 2
 EMERGENCY NOTIFICATION FILE, 2
 EMERGENCY ROOM REGISTERS FILE, 68
 EMPLOYEE BENEFITS REGISTER, 17

EMPLOYEE CERTIFICATION AND
 QUALIFICATION RECORDS, 17
 EMPLOYEE DIRECTORIES, ROSTERS OR
 INDEXES, 17
 EMPLOYEE EARNING RECORDS, 9
 EMPLOYEE EDUCATIONAL ASSISTANCE
 PROGRAM RECORDS, 17
 EMPLOYEE ELIGIBILITY RECORDS, 17
 EMPLOYEE EXIT INTERVIEW RECORDS, 17
 EMPLOYEE HEALTH CERTIFICATES, 17
 EMPLOYEE MEDICAL RECORDS, 18
 EMPLOYEE PENSION AND BENEFIT PLAN
 ENROLLMENT FORMS, 18
 EMPLOYEE PENSION AND BENEFITS PLANS,
 18
 EMPLOYEE SUGGESTIONS, 18
 EMPLOYEE TRAINING AND EDUCATIONAL
 RECORDS, 18
 EMPLOYMENT LISTINGS, ADVERTISEMENTS
 AND ANNOUNCEMENTS, 18
 ENERGY CONSERVATION FILE, 3
 ENVIRONMENTAL MONITORING RECORDS,
 41
 EQUAL EMPLOYMENT OPPORTUNITY (EEO)
 COMPLIANCE CASE RECORDS, 19
 EQUAL EMPLOYMENT OPPORTUNITY (EEO)
 DISCRIMINATION COMPLAINT CASE
 RECORDS, 19
 EQUAL EMPLOYMENT OPPORTUNITY (EEO)
 REPORTS, 19
 EQUAL EMPLOYMENT OPPORTUNITY
 COMMISSION FILE, 12
 EQUAL PAY RECORDS, 19
 EQUIPMENT FILE, 3
 EQUIPMENT MAINTENANCE FILE, 3
 EQUIPMENT REGISTRATION FILE, 51
 EVACUATION PLANS, 3
 EXECUTIVE COMMITTEE OF MEDICINE
 STAFF MINUTES, 73
 EXPENDITURE REPORTS, 9

F

FACILITY ACCESSIBILITY RECORDS, 3
 FACILITY SERVICE AND MAINTENANCE
 AGREEMENTS, 9
 FAMILY MEDICAL LEAVE ACT (FMLA)
 RECORDS, 19
 FETAL MONITORING STRIPS, 38
 FILES AND FILING WORKSHOP, ix
 FILMS FILE, 76
 FINANCIAL CLASSIFICATION LOGS FILE, 73
 FINANCIAL JOURNALS AND LEDGERS, 9
 FIRE AND SAFETY FILE, 78
 FISCAL CORRESPONDENCE, 9
 FLOAT ROSTERS FILE, 57

FLOOR CENSUS RECORDS, 57
FOLLOW-UPS FILE, 24
FOOD COSTS FILE, 41
FOOD SERVICE PROGRAMS FILE, 41
FOOD SERVICE RECORDS, 40
FORMS. *See* SPECIFIC FORM. *See* REQUEST FORMS
FRINGE BENEFITS FILE, 19
FUEL INVOICES, 3
FUEL OIL STORAGE TANK RECORDS, 79
FUND DRIVE RECORDS, 3

G

GOALS AND OBJECTIVES, 3
GRANT CONTRACT APPEALS CASES, 3
GRANT PROPOSALS, 3
GRANTS, 4
 FINANCIAL RECORDS, 9
GRIEVANCE FILE, 19

H

HAZARDOUS MATERIALS TRAINING
 RECORDS, 79
HEALTH INSURANCE FILE, 20
HISTORIES FILE, 4
HOLD HARMLESS AGREEMENTS, 79
HOMEPAGE (ELECTRONIC) FILE, 76

I

IMAGING SERVICES FILE, 52
INCREMENTS FILE, 20
INDEX FILE, 4
INDEXING ELECTRONIC RECORDS, iii
INDICES, 43
INFECTION CONTROL RECORDS, 25
INSECT TREATMENT REPORTS FILE, 41
IN-SERVICE EDUCATION FILE, 41
IN-SERVICE EDUCATION TRAINING RECORDS
 (PERSONNEL) FILE, 25
IN-SERVICE EDUCATION TRAINING RECORDS
 (PROGRAM), 25
INSPECTION OF BIOMEDICAL EQUIPMENT
 FILE, 28
INSPECTION RECORDS, 4
INSTRUMENT MAINTENANCE FILE, 49
INSTRUMENT MAINTENANCE RECORDS FILE,
 45
INSURANCE CLAIM RECORDS FILE, 61
INSURANCE CLAIMS, 29
INSURANCE FILE, 9
INSURANCE PENDING REPORTS, 29
INSURANCE POLICIES, 13
INSURANCE WAIVERS, 79

INSURANCE, AUDITS, SURVEYS AND
 REPORTS, 79
INTERNAL REVENUE SERVICE (IRS) TAX
 FORMS, 10
INTERNET ACCESS TO PUBLIC RECORDS
 INFORMATION, ii
INTERNSHIP PROGRAM FILE, 20
INTRAVENOUS HOOD PERFORMANCE
 REPORTS FILE, 61
INVENTORIES OF PROPERTY AND
 EQUIPMENT, 10
INVENTORY REVIEW FILE, 41
INVESTMENT RECORDS, 10
INVOICES, 10

J

JANITORIAL MAINTENANCE RECORDS, 4
JOB EVALUATION DESCRIPTION FILE, 20
JOURNAL AND LEDGERS, 10
JOURNAL VOUCHERS, 10

L

LABORATORY PROCEDURES/PROTOCOL
 FILE, 49
LABORATORY RECORDS, 45
LABORATORY REPORTS FILE, 49
LEASES FILE, 13
LEAVE FILE, 20
LEAVE WITHOUT PAY FILE, 20
LEGAL OPINIONS, 13
LEGAL RECORDS, 12
LITIGATION CASE FILE, 4
LITIGATION CASE RECORDS, 13
LOCAL GOVERNMENT COMMISSION
 FINANCIAL STATEMENTS, 10
LOCAL GOVERNMENT EMPLOYEES
 RETIREMENT SYSTEM MONTHLY
 REPORTS, 10
LOG OF DELIVERY ROOM ACTIVITIES FILE,
 74
LOGBOOKS, 26
LONGEVITY PAY REQUESTS, 20
LOSS CONTROL INSPECTION REPORTS, 79

M

MAILING LISTS, 4
MAMMOGRAM FILMS FILE, 52
MANAGEMENT STUDIES, 4
MANAGING ELECTRONIC PUBLIC RECORDS
 WORKSHOP, ix
MANAGING PUBLIC RECORDS WORKSHOP, ix
MASTER PATIENT INDEX, 43
MATERIAL SAFETY DATA SHEETS, 79

MATERIAL SAFETY DATA SHEETS (MSDS) FILE, 58
 MATERNAL AND CHILD HEALTH COMMITTEE MINUTES, 73
 MEAL PRODUCTION RECORDS, 41
 MEDICAID LOGS, 30
 MEDICARE DISBURSEMENT REPORTS, 30
 MEDICARE LOGS, 30
 MEDICATION ERRORS FILE, 62
 MEDICATION STORAGE INSPECTION REPORTS FILE, 62
 MEETINGS (STAFF), 5
 MERIT FILE, 21
 MICROFILM, x
 MICROFILM, ADVANTAGES, x
 MICROFILM, LEGAL AUTHORITY AND ACCEPTANCE, x
 MICROFILM, SERVICES AVAILABLE, x
 MICROFILM, TECHNICAL STANDARDS, x
 MILITARY LEAVE FILE, 21
 MINUTES AND ATTACHMENTS (COUNTY HOSPITALS), 5
 MONTHLY BUDGET REPORTS, 10
 MONTHLY HOME HEALTH REPORTS FILE, 70
 MOTOR POOL LOGS, 5

N

NEWS AND PRESS RELEASES, 76
 NEWSCLIPPINGS, 76
 NOTIFICATION OF PENALTY ASSESSMENT FILE, 79
 NOURISHMENT SHEETS FILE, 41
 NUCLEAR MEDICINE, RADIATION THERAPY, AND RADIOLOGY RECORDS, 50
 NUMBER CONTROL REGISTERS FILE, 68
 NURSING SERVICES RECORDS, 56
 NURSING STAFF MEETING MINUTES, 57

O

OBSERVATION LOGS FILE, 57
 OBSTETRICS REGISTERS FILE, 68
 OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) FILE, 80
 OFFICE ADMINISTRATION CORRESPONDENCE, 5
 OFFICE SECURITY RECORDS, 5
 OMIT AND DELAY SHEETS FILE, 41
 OPERATING ROOM LEGEND DEVICES FILE, 59
 OPERATING ROOM LOGS FILE, 59
 OPERATIONING DEPARTMENT RECORDS, 58
 OPERATIVE INDEX FILE, 43
 OPERATIVE REGISTERS FILE, 69
 ORDINANCES (REFERENCE COPY), 13
 ORGANIZATIONAL CHARTS, 5

OWNERSHIP RECORDS (DEEDS, TITLES), 13

P

PA-400 FILE. *See* REFERRAL TO COUNTY DEPARTMENT OF SOCIAL SERVICES (PA-400) FILE
 PAID CHECKS, PAID BILLS/VOUCHERS, 10
 PAID-UP SLIPS OR ZERO BALANCES, 30
 PARKING FILE, 5
 PATIENT ABSTRACT RECORDS FILE, 73
 PATIENT CARE LOGS FILE, 57
 PATIENT CASE RECORDS FILE, 67
 PATIENT CONFERENCE RECORDS FILE, 70
 PATIENT MEDICATION PROFILE, 62
 PATIENT PREFERENCE FORM FILE, 42
 PATIENT RECORDS (INPATIENT AND OUTPATIENT) FILE, 65
 PATIENT RECORDS SIGN-OUT FILE, 53
 PATIENT REFUND LOGS, 30
 PATIENT SURVEY FILE, 42
 PATIENT TRACKING RECORDS FILE, 70
 PAYMENT VOUCHERS, 30
 PAYROLL, 10
 PAYROLL DEDUCTIONS, 10
 PEDIATRIC RECORDS (INPATIENT AND OUTPATIENT), 39
 PERFORMANCE IMPROVEMENT AND QUALITY ASSURANCE RECORDS, 26
 PERFORMANCE IMPROVEMENT RECORDS, 42
 PERMANENT RECORDS, **iii**
 PERSONNEL JACKET(OFFICIAL COPY), 21
 PERSONNEL RECORDS, 14
 PERSONNEL RECORDS (REFERENCE COPY), 21
 PETITIONS (CITIZEN), 5
 PHARMACEUTICAL CARE ASSESSMENT FILE, 62
 PHARMACY RECORDS, 60
 PHOTOGRAPHS, 76
 PHYSICAL, OCCUPATIONAL, RESPIRATORY, AND SPEECH/LANGUAGE THERAPY RECORDS, 64
 PHYSICIANS INDEX FILE, 44
 PLANNING AND DEVELOPMENT FILE, 5
 POLICIES, 1
 POLICIES AND PROCEDURES (ADMINISTRATIVE), 5
 POLICIES AND PROCEDURES(PERSONNEL), 21
 POSITION CLASSIFICATION– POSITION HISTORY FILE, 21
 POSITION CONTROL CARDS, 22
 POSITION DESCRIPTION RECORDS, 21
 POSITION REQUISITION AND ANALYSIS RECORDS, 22
 PREFERENCE FOR PHYSICIAN CARDS FILE, 59

PRESCRIPTION ORDERS FILE, 62
 PRICE QUOTATIONS, 10
 PRINTING REQUEST, 5
 PRIVATE DUTY CALL LISTS FILE, 57
 PRIVATE PAID DISCHARGES FILE, 73
 PROCEDURES, 1
 PROCUREMENTS AND PURCHASING, 11
 PRODUCTION SHEETS FILE, 42
 PRODUCTIVITY REPORTS FILE, 57
 PROJECT FILE, 5
 PROPERTY AND EQUIPMENT (INVENTORY) FILE, 6
 PROTECTING PUBLIC RECORDS, iii
 PSYCHIATRIC RECORDS, 66
 PSYCHIATRIC TEST ANSWER SHEETS FILE, 67
 PUBLIC RECORD WITH SHORT-TERM VALUE, iv
 PUBLIC RECORD, ELECTRONIC MAIL AS. *See* ELECTRONIC MAIL
 PUBLIC RECORDS DEFINED, ii
 PUBLIC RECORDS SCHEDULE, ii
 PUBLIC RECORDS SERIES LISTING FORM, 81
 PUBLIC RECORDS, ACCESS TO BY PUBLIC, ii
 PUBLIC RELATIONS FILE, 76
 PUBLIC RELATIONS RECORDS, 75
 PUBLICATIONS RECEIVED, 6
 PULMONARY FUNCTION TEST REPORTS, 34
 PURCHASE ORDERS, 11
 PURCHASING REPORTS, 11

Q

QUALITY ASSURANCE REPORTS, 39
 QUALITY CONTROL RECORDS FILE, 52

R

RADIATION PROTECTION PROGRAM FILE, 53
 RADIOACTIVE MATERIALS RECEIPT AND DISPOSAL FILE, 53
 READING FILE, 6
 RECIPIENT CHECK AND CANCELLATION REGISTERS, 11
 RECONCILIATIONS, 7
 RECORD COUNT LISTS, 39
 RECORDS DESTRUCTION, METHODS, vi
 RECORDS MANAGEMENT FILE, 6
 RECORDS MANAGEMENT WORKSHOPS, ix
 RECORDS OF EMERGENCY DEPARTMENT DISPENSING FILE, 62
 RECORDS OF PATIENTS DECLARED LEGALLY INCOMPETENT FILE, 67
 RECORDS OF PRE-PACKAGED DRUGS FILE, 62
 REFERENCE FILE, 6
 REFERRAL WORKSHEET FOR DISCHARGE PLANNING FILE, 71

REGISTERS, 68
 REGULATIONS, 1
 REPORTS (INTERNAL), 6
 REQUEST AND APPROVAL OF UNSCHEDULED RECORDS DISPOSAL FORM, 83
 REQUEST FOR CHANGE IN RECORDS SCHEDULE FORM, 82
 REQUEST FOR DISPOSAL OF ELECTRONIC DATA PROCESSING PUBLIC RECORDS FORM, 84
 REQUEST FORMS, 81
 REQUISITION FORMS, 6
 RESEARCH AND STUDIES FILE (ADMINISTRATIVE), 6
 RESOLUTIONS AND ORDINANCES, 6
 RETIREMENT (EMPLOYEE) FILE, 11
 RISK MANAGEMENT RECORDS, 78
 RISK MANAGEMENT RECORDS, 26
 RULES, 1

S

SAFETY SURVEY REPORTS AND COMMITTEE MEETINGS FILE, 42
 SALARY SURVEY RECORDS, 22
 SALES TAX FILE, 11
 SANITATION/INSPECTION REPORTS FILE, 42
 SCANNING AND MICROFILMING PUBLIC RECORDS WORKSHOP, ix
 SCHEDULE CHANGES, iii
 SCHEDULE DEFINED, ii
 SCHEDULE II INVOICE AND RECEIVING FILE, 62
 SCHEDULE II, III, IV, AND V NARCOTICS USAGE FILE, 63
 SCHEDULING FILE
 MEDICAL PERSONNEL, 26
 PATIENTS, 27
 SELF-INSURER CERTIFICATION FILE, 80
 SERVICE AWARDS FILE, 22
 SERVICE CHECKLIST FILE, 42
 SERVICE RECORDS FILE, 28
 SLIDES, 77
 SOCIAL SERVICES RECORDS, 70
 SOCIAL WORK REPORTS FILE, 71
 SPEECHES, 77
 STATE AND/OR OTHER COUNTY PROGRAMS FILE, 6
 STATISTICAL MONTHLY REPORTS, 27
 STATISTICAL REPORTS FILE, 65
 STRESS TEST REPORTS, 34
 SURPLUS PROPERTY FILE, 6

T

TAX ALLOCATIONS, 11
TAX COLLECTIONS, 11
TECHNICAL AND PROFESSIONAL TRAINING, ix
TECHNICAL STANDARDS, MICROFILM. *See* MICROFILM, TECHNICAL STANDARDS
TECHNOLOGISTS' WORKSHEETS, 35
TELEPHONE LOGS (BILLINGS), 11
TEMPERATURE AND HUMIDITY FILE, 59
TEMPORARY EMPLOYEE RECORDS, 22
THERAPEUTIC RADIATION RECORDS FILE, 53
TIME SHEETS/CARDS, 11
TRAINING, TECHNICAL AND PROFESSIONAL. *See* TECHNICAL AND PROFESSIONAL TRAINING
TRANSCRIPTION LOGS, 39
TRANSFER AND DISCHARGE LISTS FILE, 73
TRAVEL REIMBURSEMENTS, 11
TRAVEL REQUESTS, 11

U

U.S. BUREAU OF LABOR STATISTICS AND SUMMARY FILE, 80
ULTRASOUND SERVICES FILE, 54
UNEMPLOYMENT COMPENSATION CLAIMS, 22
UNEMPLOYMENT COMPENSATION REPORTS, 22
UNEMPLOYMENT INSURANCE FILE, 22
UNSCHEDULED RECORDS, DISPOSAL OF. *See* EARLY DISPOSAL
USDA DONATED FOOD FILE, 42
UTILIZATION COMMITTEE MEETING MINUTES FILE, 73
UTILIZATION REVIEW PLANS FILE, 73
UTILIZATION REVIEW RECORDS, 72

V

VEHICLE ACCIDENT FILE, 6
VEHICLE MAINTENANCE FILE, 11
VEHICLE REQUEST, 6
VEHICLE TITLES, 13
VENDING MACHINE REPORT FILE, 42

VETERANS COMMISSION QUARTERLY REPORTS, 6
VIDEO TAPES (PUBLIC RELATIONS), 77
VISUAL AIDS, 77
VITAL RECORDS, 74
VOUCHER REGISTERS FILE, GENERAL EXPENSE AND PERSONAL SERVICE, 11
VOUCHERS, VARIOUS FUNDS, 11

W

WARRANTIES, 13
WEEKLY REPORTS, 27
WIPE TEST RECORDS FILE, 54
WITHHOLDING TAX FILE, 11
WORK ORDERS, 28
WORK ORDERS (EQUIPMENT REPAIR), 6
WORK ORDERS (FACILITY RELATED), 6
WORK ORDERS (VEHICLE REPAIR), 6
WORK PLANNING AND PERFORMANCE REVIEW FILE, 23
WORKERS' COMPENSATION LITIGATION FILE, 13
WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE, 23
WORKERS' COMPENSATION PROGRAM CLAIMS FILE, 23
WORKING PAPERS, 11
WORKSHOP, FILES AND FILING, ix
WORKSHOP, MANAGING ELECTRONIC PUBLIC RECORDS, ix
WORKSHOP, MANAGING PUBLIC RECORDS WORKSHOP, ix
WORKSHOP, SCANNING AND MICROFILMING PUBLIC RECORDS, ix
WORKSHOPS. *See* RECORDS MANAGEMENT WORKSHOPS

X

X-RAY FILMS (DIAGNOSTIC) FILE, 54
X-RAY FILMS (DUPLICATES) FILE, 54
X-RAY FILMS FILE, 55

Y

YEARLY DRUG INVENTORY FILE, 63